

EXHIBIT 9



ACCOUNT INFORMATION FOR LIZHAO SU

CUSTOMER SUMMARY FOR LIZHAO SU

Title:	Lizhao Su
Applicant ID:	2001445
Type:	INDIVIDUAL
Legal Country:	China
Mailing Address:	Wangjing Huayuan Dongqu, Building 213 Apt# 1704, Beijing, Beijing, 100102, China
E-mail Address:	lizhao.su@gmail.com
Primary user name:	lizhao226
Employer:	Set/Unset Employer
Good-faith Review:	

ACCOUNTS OF LIZHAO SU

ID	VAN	Type	Activated Capabilities	Status	Priority	Equity yesterday
9828	9828	Active Trader	BOND CFD FOP FUND FUT LEVFX OPT SSF STK MRGN PMRGN	Open.	FAST	20,986,312 USD
928F	928F	Active Trader	CFD CMDTY FOP FUT OPT MRGN	Open.	FAST	0 USD

ACCOUNT SUMMARY FOR 9828

9828

ID:	9828 (VAN: 9828)	Equity yesterday:	20,986,312 USD
Type:	Active Trader	Started:	03 Oct 2013
Activated Capabilities:	BOND CFD FOP FUND FUT LEVFX OPT SSF STK MRGN PMRGN	Approved:	03 Oct 2013
Status:	Open. Clearing Status	Opened:	03 Oct 2013
Phylum:	C - Customer	Funded:	07 Oct 2013
Priority:	FAST Change Priority	Closed:	
IB Entity:	IBLLC-US	Operator:	
Currency:	USD	Estate:	

TMS tickets

TMS sticky notes

Assign to ASG

Account Diagnostic

PRIOR NOTES

Hide all

1. Note	hide
upgrade request approved	
Operator: dbridges	Date: 21 Jan 2015
2. Note	hide
ok, Approved for PMRGN	
Operator: dbridges	Date: 03 Oct 2013

CUSTOMER CONFIG

Account Config

Nothing Set

Edit Account Config

Internal Account Settings

Nothing Set

Edit Account Settings

ACCOUNT APPROVAL DECISION

CLICK to see Account Reopen History

Decision: Accepted (Initial)

Proclamations: Based on the fact that this customer has satisfied Interactive Brokers' threshold financial criteria to trade security futures, and based on IB's verification of relevant account information under IB's written account approval and anti-money laundering procedures, and based on my review of all information provided by the customer, including but not limited to the customer's investment objectives, employment status, annual income, net worth, liquid net worth, marital status, number of dependents, age and investment experience, I approve this account for trading security futures.

I have reviewed and approved this account for portfolio margin, based on my review of all financial and investment information provided by the customer, and based on the fact that the account is eligible for uncovered option trading and has acknowledged receipt of and agreement with the Portfolio Margin Risk Disclosure.

Deciding User: clevalo

Deciding Time: 03 Oct 2013 12:22:47 EDT

Initial Capabilities: BOND CFD FOP FUT LEVFX MRGN MULT OPT PMRGN SSF STK

Compliance Officer: dbridges

Compliance Time: 03 Oct 2013 10:13:46 EDT

Risk Officer: clevalo

Risk Time: 03 Oct 2013 12:22:47 EDT

Additional Remarks:

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ACCOUNT UPGRADE DECISIONS

All Requested Capabilities: BOND CFD FOP FUND FUT LEVFX MRGN MULT OPT PMRGN SSF STK

Decision: Accepted

5/17/2016 7:17 PM

SEC-IB-E-0001769

ACCOUNT UPGRADE DECISIONS

All Requested Capabilities: BOND CFD FOP FUND FUT LEVFX MRGN MULT OPT PMRGN SSF STK

Decision: Accepted

Proclamations: Based on the fact that this customer has satisfied Interactive Brokers' threshold financial criteria to trade security futures, and based on IB's verification of relevant account information under IB's written account approval and anti-money laundering procedures, and based on my review of all information provided by the customer, including but not limited to the customer's investment objectives, employment status, annual income, net worth, liquid net worth, marital status, number of dependents, age and investment experience, I approve this account for trading security futures.

Deciding Officer: dbridges

Deciding Time: 21 Jan 2015 10:16:21 EST

Compliance Officer: dbridges

Compliance Time: 21 Jan 2015 10:16:21 EST

Additional Remarks:

ADDITIONAL APPLICANT/REGISTRATION INFORMATION

APPLICANT INFO

Applicant ID: 2001445
Country of Legal residence: China
Applicant Citizenship: China
US Income Tax Classification: NOT AVAILABLE

Primary Phone: +8613701376823
Secondary Telephone: +8613701376823

Mailing Address: Wangjing Huayuan Dongqu, Building 213 Apt# 1704
Beijing, Beijing, 100102
China

Currency/Rate: USD (1)

Market Data Status: Professional
Token Type: Gold

Marketing/Sales Info:
Assisted by: self

Change Applicant Information |

IPO CERTIFICATION INFORMATION

No response

EXCESS SWEEP

None

INVESTMENT EXPERIENCE

	Years of Experience	# of Trades per Year	Knowledge Level
Stocks	> 10	26 - 50	Extensive
Options	6 - 10	1 - 10	Good
Commodities	6 - 10	1 - 10	Good
Bond	6 - 10	1 - 10	Good
FX	6 - 10	1 - 10	Good
CFD	N/A	N/A	0

FINANCIAL INFORMATION

Estimated Net Worth	1,000,001 - 5,000,000	Estimated Liquid Net Worth	1,000,001 - 5,000,000
Net Income	100,001 - 150,000	Sources of Funds (Other than regular income)	Sources of Income
Total Assets	1,000,001	Accredited Investor for Private Placement?	No
		Invited to Private Placement?	No

INVESTMENT OBJECTIVES

Growth, Trading, Speculation, Hedging

Edit Objective

TAX BASIS CONFIGURATION

TAX BASIS	LAST EDIT	EDITED BY
FIFO (First In First Out)		

TAX SYSTEM STATUS

Current Tax System Class:	Current Tax System Country:	Reported Tax System Class:	Reported Tax System Country:
N8	CN	N8	CN

WS INFO

Tax Form History

Display Pending Tax Forms

BASIC INFORMATION		ADDITIONAL INFORMATION		
Tax Payer ID: Form: View W-88en Submitted: 03 Oct 2013 04:27:02 EDT For Interest: No For Dividend: No For Broker: No Expiration Date: None		ATTRIBUTE NAME	ATTRIBUTE VALUE (US-ASCII)	ATTRIBUTE VALUE (NATIVE)
		owner_type	Individual	
		account_title	Lizhao Su	
		citizenship	N/A	
		signatures	Lizhao Su	
		country	China	
		address	Wangjing Huayuan Dongqu Building 213 Apt# 1704	
		part 7 us country	China	

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5/17/2016 7:17 PM
SEC-IB-E-0001770

country China
address Wangjing Huayuan Dongqu Building 213 Apt# 1704
part_2_9a_country China
sequence 150470514
part_2_9a part_2_9a
city_state Beijing, 100102

US TAX INFO

Tax Form History

Display Pending Tax Forms

No W-9 form available or applicable.

IRS TAX VERIFICATION STATUS

No TIN Verification done with IRS.

FINANCIAL REGULATION REGISTRATION INFORMATION

INVESTOR CATEGORY

Active Categories

COUNTRY	REGULATOR'S NAME	SERVICE TYPE	REGISTRATION TYPE	REGISTRATION ID
	INVESTOR CATEGORY	QUESTIONNAIRE	CATEGORY TS	REASON
	QP Qualified Purchasers	ECP_Individual	04 May 2014	ECP Individual
	AI Accredited Investor	Individual	07 Oct 2013	Customer Customer self-declared
	ECP Eligible Contract Participants	IB Auto Customer was qualified by IB Questionnaires were not filled out	02 Apr 2014	EQUITY-MULTI (02 Apr 2014) Sum Equity at IB on different accounts over \$10M

History

DIVIDEND REINVESTMENT PLAN (DRIP)

There is no DRIP for this account!

Show Drip History

APPLICANT ASSOCIATED ENTITIES

Show all

MS. LIZHAO SU (NONE-ACCOUNT HOLDER,OCR ACCOUNT CONTROLLER-SELF)

Ms. Lizhao Su

Individual (10030522)

Ownership
Ownership percentage: 100.0
Detailed Ownership Information

Contact Info
Email: lizhao.su@gmail.com
Home Phone: +861084717090
Work Phone: +8613701376823
Mobile Phone: +8613701376823
Home (PRIMARY): (86) +861084/17090
details

Mobile (PRIMARY): (86) +8613701376823
details

Personal Info
Citizenship: China
DOB: [REDACTED] 1938
Marital Status: M
Gender: F

Legal ID
National ID: 11010519380326252X (China)

Addresses
Residential Address: Wangjing Huayuan
Dongqu, Building 213 Apt# 1704
Beijing, Beijing, 100102
China
Mailing Address: Same as residential address

Employer Info
Employment Status: RETIRED
Job Title: none
Employer: none

Change Info Request Proof of ID and DOB Request Proof of Address Request Proof of SSN Mark as PEP Ownership History

Sessions: User: lizhao326 [REDACTED] 98281 Active in TWS: Yes

ACCOUNT ASSOCIATED ENTITIES US\$29828

Show all

No Associated Entity

DISCIPLINARY EVENTS

QUESTION	ANSWER	NATIVE ANSWER
Has the account holder ever been the subject of, or initiated, litigation, arbitration or any other type of dispute or settlement procedure with another broker or dealer?	No	N/A
Has the account holder ever been the subject of an investigation or proceeding by any commodities or securities		

Exhibit 9



QUESTION	ANSWER	NATIVE ANSWER
Has the account holder ever been the subject of, or initiated, litigation, arbitration or any other type of dispute or settlement procedure with another broker or dealer?	No	N/A
Has the account holder ever been the subject of an investigation or proceeding by any commodities or securities exchange or regulatory authority or self-regulatory authority?	No	N/A

COMPLIANCE/REGULATORY INFORMATION

Is the account holder or any immediate family member who resides in the same household, registered as a broker-dealer or an employee, director or owner of a securities or commodities brokerage firm? No

Add Broker-Dealer Affiliation



QUESTION	ANSWER	NATIVE ANSWER
Is the account holder a member of an exchange or an associated person, affiliated person or employee of an exchange member?	No	N/A
Is the account holder a member of a regulatory or a self-regulatory organization ?	No	N/A
Is the account holder: i) a director ; ii) a 10% shareholder; or iii) a policy-making officer of any publicly traded company? (Restricted or Controlled Stock)	No	N/A
Is exactly a registered financial advisor ?	N/A	N/A
Accepted Futures Arbitration Agreement ?	Yes	Yes

Edit Compliance Information

Change Arbitration Agreement

U.S. SEC LARGE TRADER ID INFORMATION

Show information on U.S. SEC large Trader ID Information

EXCHANGE MEMBERSHIP AND COMMISSION INFO

COMMISSION TYPE	STATUS	DATE REQUESTED	DATE EFFECTIVE
Securities	Un-bundled	2013-10-03 16:45:45.0	2013-10-04 00:00:00.0
Commodities	Un-bundled	2013-10-03 16:33:44.0	2013-10-04 00:00:00.0

EXCHANGE CODE	CLASS
Add an Exchange class	
REGULATORY CODE	CLASS
Add a Regulatory class	

EQUIFAX ID/ADDRESS VERIFICATION REPORTS

No Equifax/CDC verification reports for this Account.

**OFAC, SANCTIONED AND CONTROL LIST/PROHIBITED CUSTOMER LIST SEARCHES**

Name	Matches	
Search (# 79224647) for Ms. Lizhao Su (none-Account Holder,OCR Account Controller-self)		Complete - no match found hide
Lizhao Su	No Matches found.	Processing time: 15 May 2016 07:55:34 EDT

WORLD CHECK TASKS

Name	Matches	
WorldCheck Search (# 79224648) for Ms. Lizhao Su (none-Account Holder,OCR Account Controller-self)		Complete - no match found hide
Lizhao Su	No Matches found.	Processing time: 03 Oct 2013 04:48:14 EDT

DOCUMENT SUBMISSION TASKS

Reject Multiple

DOCUMENT SUBMISSION TASK	DOCUMENT RECEIVED	STATUS	ACTIONS
IB-UKL Account Election for Lizhao Su	Received form IB-UKL Account Election	Approved (null) on 04 Oct 2013 02:36:43 EDT	
Proof of identity and date of birth for Ms. Lizhao Su (none-Account Holder,OCR Account Controller-self)	National ID X81LC-US-1854327.pdf via Form Upload 03 Oct 2013 04:39:31 EDT	Approved (cleveo) on 03 Oct 2013 12:22:48 EDT	
Proof of address for Ms. Lizhao Su (none-Account Holder,OCR Account Controller-self)	Hukou X81LC-US-1854342.pdf via Form Upload 03 Oct 2013 04:45:49 EDT	Approved (cleveo) on 03 Oct 2013 12:22:48 EDT	
Proof of address for Ms. Lizhao Su (none-Account Holder,OCR Account Controller-self) (for Token device)	Bank Statement X81LC-US-2562382.pdf via E-mail 05 Nov 2015 03:28:32 EST	tentatively Accepted (melody) on 05 Nov 2015 21:20:22 EST	 Under Review

COMPLIANCE REVIEWS

Mark Tasks for Further Review		
User	Task	Status
lizhao326	Investor Category for Lizhao Su	Completed on 07 Oct 2013 01:31:41 EDT



EXHIBIT 10

New US Account – Hong Kong

Date: June 02, 2008

New Acct Representative: Jacky Lam

E-mail: jacky.lam@etrade.com

Phone: 2509 5926 / 3191 3000

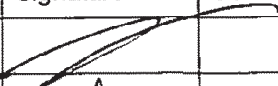
ACCOUNT NUMBER:

[REDACTED] 2058

NAME(s): Lizabeth SU

Documents + Requirement Check List:

- ☒ Application form completed, signed + dated
- ☒ W-8BEN with no abbreviations
- ☒ Copy of Passport or ID card for HK, Chinese or Taiwan residents for each acct holder or national ID card (for other Asian countries, where available)
- ☒ Copy of Utility or bank statement or mobile phone bill showing residential address if national ID card does not have address imprinted
- ☒ Designated Bank Account
- ☐ Consent Letter
- ☒ Cheque
- ☐ Stock Certificate and Stock or Bond Power of Attorney
- ☒ OFAC check – Result print out of results (RDC)
- ☐ Sign off by local compliance representative below:

Department	Date In	Date Out	Signature	Comments
Sales	02 JUN 2008	02 JUN 2008		
Client Admin	02 JUN 2008	02 JUN 2008	AT	
Compliance	03 JUN 2008	03 JUN 2008	Li	
Client Admin/Couriered	03 JUN 2008	03 JUN 2008		

Global Screening Online - Results

Query name	LIZHAO SU
Noise words stripped	
Total matches found	None
Search time	Monday 02nd of June 2008 07:07:56 AM GMT
Entities searched	Both people and non-people (organisations, countries, ships)
Spelling variations	No
Search synonyms	No
Ignore initials	No
Match words	All words in the query
Sanctions bodies searched	<p>Commission de Surveillance du Secteur Financier, Luxembourg</p> <p>Commonwealth of Australia Law</p> <p>De Nederlandsche Bank, Netherlands</p> <p>Department of Foreign Affairs and Trade, Australia</p> <p>European Union</p> <p>Financial Services Agency, Japan</p> <p>Guernsey Financial Services Commission</p> <p>HM Treasury (formerly Bank of England)</p> <p>Home Office</p> <p>Hong Kong Monetary Authority</p> <p>Isle of Man Financial Supervision Commission</p> <p>Jersey Financial Services Commission</p> <p>Ministry of Finance, Japan</p> <p>Monetary Authority of Singapore</p> <p>Office of Foreign Assets Control (OFAC), United States</p> <p>Office of the Superintendent of Financial Institutions, Canada</p> <p>Reserve Bank of Australia</p> <p>United Nations Security Council Committee</p> <p>US Department of State</p>
Law Enforcement bodies searched	<p>Central Bureau of Investigation, India</p> <p>Central Narcotics Bureau, Singapore</p> <p>Cheshire Constabulary, UK</p> <p>City of London Police, UK</p> <p>Devon & Cornwall Constabulary, UK</p> <p>Federal Bureau of Investigation (FBI), United States</p> <p>General Police Directorate, Slovenia</p> <p>Hampshire Police, UK</p> <p>Hong Kong Police Force</p> <p>Interpol</p> <p>Metropolitan Police Service, UK</p> <p>National Crime Squad, UK</p> <p>Nottinghamshire Police, UK</p> <p>Philippines National Police</p> <p>Royal Embassy of Saudi Arabia</p> <p>Royal Malaysian Police</p> <p>South African Police Service</p> <p>Surrey Police, UK</p> <p>Thames Valley Police, UK</p> <p>US Air Force Office of Special Investigations</p> <p>US Bureau of Alcohol, Tobacco, Firearms and Explosives</p> <p>US Drug Enforcement Administration</p> <p>US Immigration and Customs Enforcement</p> <p>US Marshall's Service</p> <p>US Naval Criminal Investigative Service</p> <p>US Postal Inspection Service</p> <p>US Rewards for Justice</p> <p>US Secret Service</p> <p>Warwickshire Police, UK</p>

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Personal Account Application Form 私人戶口申請書

E*TRADE Securities LLC
P.O. Box 1542, Merrifield, VA 22116-1542

www.etrade.com

IMPORTANT INFORMATION FOR OPENING YOUR E*TRADE ACCOUNT

Please attach: • Copy of your ID
• Your residential account statement.

To help the government fight the
Act requires all financial institutions
who opens an account.

What this means for you: When
and other information that will be
other identifying documents.

This form must be filled in English.

For Joint Account, each account holder has to fill in W-8BEN Form separately.

開設信創理財美股經紀帳戶須知

請附上: • 您的身份證或護照副本。

• 您的住址證明, 如最近的銀行月結單、信用卡月結單、水電費單或流動電話月結單的副本。

為協助政府打擊資助恐怖主義和洗黑錢活動,《美國愛國法》(USA Patriot Act)規定所有金融機構須取得、核實和記錄每名開戶人士的身份資料。

此規定對您的影響: 在開戶時, 我們將要求取得您的姓名、地址、出生日期和可識別您的身份的其他資料。我們亦可能要求查閱您的駕駛執照或其他身份證明文件。

本表格必須以英文填寫。

若是聯名帳戶, 每名帳戶持有人必須分別填寫W-8BEN表格。

XB 62252058
Foreign Retail APAC
Class Code 5

ACCOUNT

Jointly bank
at
A Patriot
person

Customer Service provided by

ETRADE Securities (Hong Kong) Limited
Suite 2401-12, Two Pacific Place
88 Queensway, Admiralty, Hong Kong

ETRADE Securities (Hong Kong) Limited, Singapore Branch
80 Raffles Place #36-01, UOB Plaza 1,
Singapore 048624

客戶服務提供機構

信創證券(香港)有限公司

香港金鐘道88號太古廣場2期24樓2401-12室

Questions about your US Brokerage account?

Contact us at enquiry-hk@etrade.com

or enquiry-sg@etrade.com

若對您的美股經紀帳戶有疑問,

請電郵至enquiry-hk@etrade.com

或enquiry-sg@etrade.com

Or call us at 或致電

Hong Kong 香港: (852) 3191 3311

Singapore 新加坡: (65) 6438 8228

Toll free number 免費長途電話熱線

Northern China 中國北方: 10800 852 0968

Southern China 中國南方: 10800 152 0968

Taiwan 台灣: 00801 855 954

1. Choose Your Account Type 選擇您的帳戶類別

☒ Individual Account 個人帳戶

One person owns the account. 一人主擁有帳戶。

Joint Account: (choose only one) 聯名帳戶 (請選擇其一):

☐ Rights of Survivorship 生存者取得權

If one owner dies, his/her interest passes to surviving owners.
如果一名擁有者去世, 其權益轉給尚存的擁有者。

☐ Tenancy in Common 分權共有

If one owner dies, his/her interest passes to his/her estate.
如果一名擁有者去世, 其權益轉入其遺產。

2. Enter Your Account Holder Information (please print) 輸入帳戶持有人資料 (請用正楷填寫)

Securities industry regulations require that we collect all of the following information. 證券業規定要求我們須取得以下所有資料。

Primary Account Holder 主要帳戶持有人

Name (first, middle initial, last) 姓名 (名、中間名、姓)	Date of Birth (mm/dd/yyyy) 出生日期 (月/日/年)
LIZHAO SU	1938
Home Street Address (cannot be a P.O. box) 住宅 (街道) 地址 (不接受郵政信箱)	
WANGJING HUAYUAN DONGQU, BUILDING #213, ROOM #1704	
City, State, ZIP / Country 市、州、郵碼/國家	City, State, ZIP / Country 市、州、郵碼/國家
BEIJING CHAOYANG DISTRICT	BEIJING, 100102, CHINA
Mailing Address (if different from above, P.O. box may be used) 通訊地址 (如與以上不同, 可採用郵政信箱)	
City, State, ZIP / Country 市、州、郵碼/國家	
Email Address (required for account updates) 電郵地址 (用於帳戶資料更新)	
lizhao.su@gmail.com	
Home Phone 住宅電話號碼	Business Phone 辦公電話號碼
+86-10-65306503	
Mobile Phone 流動電話號碼	
+86-13641334439	
Employment Status 職業狀況	
<input type="checkbox"/> Employed 受僱	<input type="checkbox"/> Self-employed 自僱
<input type="checkbox"/> Student 學生	<input type="checkbox"/> Not employed 無業
<input type="checkbox"/> Retired 退休	<input type="checkbox"/> Homemaker 家庭主婦
Employer 僱主	Specific Occupation 職業
Business Street Address 辦公室 (街道) 地址	
City, State, ZIP / Country only 只需填寫市、州、郵碼/國家	
Are you employed by a registered securities broker/dealer, investment advisor, bank, or other financial institution? 您是否受僱於註冊證券經紀/交易商、投資顧問、銀行或其他金融機構?	
<input checked="" type="checkbox"/> No 否	
<input type="checkbox"/> Yes (You must submit an employer consent letter, which provides consent to open account with E*TRADE Securities LLC, with this application.) 是 (您必須提交僱主同意書, 予以贊同您透過E*TRADE Securities LLC申請開立私人戶口)	
Are you a director, 10% shareholder, or policymaker of a publicly held company? 您是否上市公司的董事、持有股權達10%的股票或決策者?	
<input checked="" type="checkbox"/> No 否	
<input type="checkbox"/> Yes (specify companies) 是 (請列明公司名稱)	

Co-Account Holder, If Applicable 聯名帳戶持有人 (如適用)

Name (first, middle initial, last) 姓名 (名、中間名、姓)	Date of Birth (mm/dd/yyyy) 出生日期 (月/日/年)
Home Street Address (cannot be a P.O. box) 住宅 (街道) 地址 (不接受郵政信箱)	
City, State, ZIP / Country 市、州、郵碼/國家	
Mailing Address (if different from above, P.O. box may be used) 通訊地址 (如與以上不同, 可採用郵政信箱)	
City, State, ZIP / Country 市、州、郵碼/國家	
Email Address (required for account updates) 電郵地址 (用於帳戶資料更新)	
Social Security Number / Tax ID Number (if any) 社會安全號碼/納稅人識別號碼 (如有)	
Home Phone 住宅電話號碼	Business Phone 辦公電話號碼
Mobile Phone 流動電話號碼	
Employment Status 職業狀況	
<input type="checkbox"/> Employed 受僱	<input type="checkbox"/> Self-employed 自僱
<input type="checkbox"/> Student 學生	<input type="checkbox"/> Not employed 無業
<input type="checkbox"/> Retired 退休	<input type="checkbox"/> Homemaker 家庭主婦
Employer 僱主	Specific Occupation 職業
Business Street Address 辦公室 (街道) 地址	
City, State, ZIP / Country only 只需填寫市、州、郵碼/國家	
Are you employed by a registered securities broker/dealer, investment advisor, bank, or other financial institution? 您是否受僱於註冊證券經紀/交易商、投資顧問、銀行或其他金融機構?	
<input type="checkbox"/> No 否	
<input type="checkbox"/> Yes (You must submit an employer consent letter, which provides consent to open account with E*TRADE Securities LLC, with this application.) 是 (您必須提交僱主同意書, 予以贊同您透過E*TRADE Securities LLC申請開立私人戶口)	
Are you a director, 10% shareholder, or policymaker of a publicly held company? 您是否上市公司的董事、持有股權達10%的股票或決策者?	
<input type="checkbox"/> No 否	
<input type="checkbox"/> Yes (specify companies) 是 (請列明公司名稱)	

Referred by E*TRADE Securities (HK) Ltd. [APPBC 001-0508]

Exhibit 10

SEC-ETRADE-E-0000012

Primary Account Holder 主要帳戶持有人 If you are not a U.S. resident, please provide the following 若非美國居民，請提供以下資料 ID No./Passport Number 身份證號碼/護照號碼 11010519380326252X Country of Issuance 簽發國家 CHINA Country of Legal Residence (please attach Form W-8BEN) 法定居住國 (請附上W-8BEN表格) CHINA NOTE: If you are a non-U.S. resident, please attach a photocopy of your passport or government-issued identification. We cannot open your account without this documentation. 注意：若非美國居民，請附上您的護照或由政府簽發的身份證明文件的影印本，否則我們無法為您開辦帳戶。 If you are not a U.S. citizen, please provide the following. 如果您不是美國公民，請提供以下資料 Country of Citizenship 國籍 CHINA If you have been at your current address for less than six months, please provide your previous address. 如果您在目前地址居住的時間少於六個月，請提供您以前的地址。 Street Address 街道地址 City, State, ZIP/Country 市、州、郵碼/國家		Co-Account Holder, if Applicable 聯名帳戶持有人 (如適用) If you are not a U.S. resident, please provide the following 若非美國居民，請提供以下資料 ID No./Passport Number 身份證號碼/護照號碼 Country of Issuance 簽發國家 Country of Legal Residence (please attach Form W-8BEN) 法定居住國 (請附上W-8BEN表格) NOTE: If you are a non-U.S. resident, please attach a photocopy of your passport or government-issued identification. We cannot open your account without this documentation. 注意：若非美國居民，請附上您的護照或由政府簽發的身份證明文件的影印本，否則我們無法為您開辦帳戶。 If you are not a U.S. citizen, please provide the following. 如果您不是美國公民，請提供以下資料 Country of Citizenship 國籍 If you have been at your current address for less than six months, please provide your previous address. 如果您在目前地址居住的時間少於六個月，請提供您以前的地址。 Street Address 街道地址 City, State, ZIP/Country 市、州、郵碼/國家	
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3. Create Your Investment Profile 設定投資組合

Securities industry regulations require that we collect all of the following information. For joint accounts, please include combined amounts. 證券業規定要求我們須取得以下所有資料。若為聯名戶口，請按合併金額計算。

Investment Objective for This Account 帳戶的投資目標 (choose only one 請只選擇一項)

- | | | | |
|--|---|--|--|
| <input type="checkbox"/> Capital preservation 保本
Minimize the potential for any loss of principal
盡量減低令本金損失的可能性 | <input type="checkbox"/> Income 收益
Provide current income rather than growth of principal
提供現時收益而非本金增長 | <input type="checkbox"/> Growth 增長
Increase investment value over time while accepting price fluctuations
在一段期間內利用價格波動為投資增值 | <input checked="" type="checkbox"/> Speculation 投機
Assume the highest degree of risk for potentially higher returns
承擔最高風險以爭取較高回報 |
|--|---|--|--|

Investment Experience 投資經驗

- | | | | |
|---------------------------------|-------------------------------------|----------------------------------|--|
| <input type="checkbox"/> None 無 | <input type="checkbox"/> Limited 有限 | <input type="checkbox"/> Good 良好 | <input checked="" type="checkbox"/> Excellent 豐富 |
|---------------------------------|-------------------------------------|----------------------------------|--|

Annual Income (in US\$) 每年收入 (以美元計算)

- | | | |
|--|---|--|
| <input type="checkbox"/> \$0-\$14,999 | <input type="checkbox"/> \$15,000-\$24,999 | <input type="checkbox"/> \$25,000-\$49,999 |
| <input type="checkbox"/> \$50,000-\$99,999 | <input checked="" type="checkbox"/> \$100,000-\$199,999 | <input type="checkbox"/> \$200,000+ |

Approximate Net Worth (in US\$) 大約資產淨值 (以美元計算)
(excluding residence 不包括住所)

- | | | |
|--|--|--|
| <input type="checkbox"/> \$0-\$24,999 | <input type="checkbox"/> \$25,000-\$49,999 | <input type="checkbox"/> \$50,000-\$99,999 |
| <input type="checkbox"/> \$100,000-\$499,999 | <input type="checkbox"/> \$500,000-\$999,999 | <input checked="" type="checkbox"/> \$1,000,000+ |

Approximate Liquid Net Worth (in US\$) 大約流動資產淨值 (以美元計算)
(cash, stocks, etc. 現金、股票等)

- | | | |
|---|--|--|
| <input type="checkbox"/> \$0-\$14,999 | <input type="checkbox"/> \$15,000-\$24,999 | <input type="checkbox"/> \$25,000-\$49,999 |
| <input type="checkbox"/> \$50,000-\$99,999 | <input type="checkbox"/> \$100,000-\$199,999 | <input type="checkbox"/> \$200,000-\$499,999 |
| <input checked="" type="checkbox"/> \$500,000-\$999,999 | <input type="checkbox"/> \$1,000,000+ | |

4. Select Your Account Features 選擇您的帳戶特點

Earn Income on Your Cash Balance 利用現金結餘賺取收入

Select only ONE of the following choices for the cash balance in your account. 請為您帳戶中的現金結餘選擇下列其中一項。

For current interest yields, go to etrade.com/rates 想知現時的利息收益率，請進入 etrade.com/rates 查閱。

- | | | |
|--|--|------------------------------------|
| <input checked="" type="checkbox"/> International Sweep Deposit Account* | <input type="checkbox"/> Credit Interest | <input type="checkbox"/> Other 其他: |
|--|--|------------------------------------|

* Offers daily interest and FDIC insurance up to US\$100,000. 存款每日生息，聯邦存款保險公司提供最高達100,000美元的保險。

If you select the E*TRADE FINANCIAL Sweep Deposit Account, we will mail you a copy of the Sweep Deposit Account Agreement and the SDA Rate and Fee Schedule, which can also be found at www.etrade.com/sweepdepositoragreement and www.etrade.com/sweepdepositoragreement, respectively. If you do not check a box, you will automatically be enrolled in the E*TRADE FINANCIAL Sweep Account. You may change your selection at any time.

如果您選用E*TRADE FINANCIAL Sweep Deposit Account，我們會把Sweep Deposit Account的協議和利率收費表寄給您，兩者也可分別在www.etrade.com/sweepdepositoragreement和www.etrade.com/sweepdepositoragreement瀏覽。如果您沒有在表格中作出選擇，便會自動加入E*TRADE FINANCIAL的Sweep Deposit Account，您也可隨時更改選擇。

Receive Your Account Documents Online 在網上收取您的帳戶文件

For your convenience, account documents such as monthly statements, trade confirmations, and tax documents will be delivered to you via a secure online file cabinet instead of by mail. We will notify you at the Primary Account Holder's e-mail address provided in Section 2 whenever a new document is available.

為方便閣下，帳戶文件(例如月結單、交易確認書和稅務文件)將透過安全的網上文件櫃而非郵寄交付給您。每當有新文件時，我們將按您在第2部份提供的主要帳戶持有人的電郵地址通知您。

This feature is provided automatically unless declined below. 除非閣下在下文另行選擇，否則會自動提供此項安排。

I would prefer to receive the following items by U.S. mail: 我想透過美國郵遞收取下列各項：

- | | | |
|---|--|--|
| <input type="checkbox"/> Monthly statements 帳戶月結單 | <input type="checkbox"/> Trade confirmations 交易確認書 | <input type="checkbox"/> Prospectuses 發售章程 |
| <input type="checkbox"/> Tax documents 稅務文件 | <input type="checkbox"/> Corporate reports, proxies, and reorganization notices 公司報告、代表委任表格及重組通知 | |

You must provide us with your e-mail address in Section 2 to receive electronic account documents. 要收取電子帳戶文件，您必須在第2部份提供您的電郵地址。

lizhao.su@gmail.com

You may change your delivery preferences at any time. With respect to documents you select to receive electronically, you agree to all the terms of Section 13 of the E*TRADE Securities Customer Agreement at etrade.com/custagreement.

您可隨時更改收件形式。就您選擇以電子方式收取的文件而言，您同意E*TRADE證券客戶協議書(載於網頁：etrade.com/custagreement)第13部份的所有條款。

Add Margin Borrowing and Overdraft Protection 加入保證金借款和透支保障

A margin account gives you the flexibility to borrow from E*TRADE Securities using the assets in your account as collateral. Proceeds may be used to purchase additional securities, as overdraft protection, or for any other purpose. This feature is provided automatically unless declined below.

保證金帳戶令您更靈活，您可以帳戶中的資產作為抵押向E*TRADE Securities借款，用於進一步購買證券(作為透支保障)或任何其他目的。除非您在下文另行選擇，否則會自動提供此項安排。

☐ Do not add margin features to my account. 不要在我的帳戶加入保證金功能。

Margin transactions involve additional risks, including the risk that you could lose more money than you deposit in your account. For more information, including current margin interest rates and the NASD Margin Disclosure Statement, visit etrade.com/margin.

保證金交易涉及額外風險，當中包括您有可能損失超過您的帳戶所存款項。如想獲得更多資料，包括現時的保證金利率和NASD(美國全國證券交易商協會)保證金披露聲明，請參閱etrade.com/margin。

See Section 10 of the E*TRADE Securities Customer Agreement at etrade.com/custagreement for more information about your responsibilities.

想對您的責任了解多些，請參閱E*TRADE證券客戶協議書第10部份(載於網頁：etrade.com/custagreement)。

5. Fund Your Account 存款入您的帳戶

Tell us how you'll provide your initial deposit. A US\$1,000 minimum is required for cash accounts [US\$2,000 for margin accounts].
請說明您將如何提供您的首次存款。現金帳戶至少需要1,000美元。(保證金帳戶需2,000美元)。

Check one or more.
請在以下一個或多個方格內加上“✓”號。

- ☒ I have enclosed a check to be settled by any bank in Hong Kong for ☐ US\$ / ☒ HK\$ 3,500,000.00 made payable to ETRADE Securities (Hong Kong) Limited.
我已附上一張收款人為ETRADE Securities (Hong Kong) Limited，並由香港銀行結算的3,500,000.00美元/港元支票。
- ☐ I have enclosed a check to be settled by any bank in US for US\$ _____ made payable to ETRADE Clearing LLC.
我已附上一張收款人為ETRADE Clearing LLC，由美國當地銀行結算的_____美元支票。
- ☐ I choose electronic transfer to the related account. (Please call (852) 3191-3311 for Hong Kong or (65) 6438-8228 for Singapore, or our toll free number at 10-800-852-0968 for Northern China, 10-800-152-0968 for Southern China and 00-801-855-954 for Taiwan.)
我選擇電匯至有關帳戶。詳情請致電(852)3191-3311(香港)或(65)6438-8228(新加坡)，或我們的免費長途電話號碼10-800-852-0968(中國北方)、10-800-152-0968(中國南方)和00-801-855-954(台灣)。
- ☐ I have enclosed a completed Account Transfer Form.
我已附上填妥的證券轉戶申請書。

6. Sign and Date Your Application 請簽署您的申請書並註明日期

I am of legal age to enter into this contract. I acknowledge that I have received, read, and agree to be bound by the terms and conditions as currently set forth in the E*TRADE Securities Customer Agreement and as amended from time to time. The E*TRADE Securities Customer Agreement is available online at etrade.com (select Hong Kong) or (select Singapore) or by calling (852) 3191-3311 for Hong Kong or (65) 6438-8228 for Singapore or our toll free number at 10-800-852-0968 for Northern China, 10-800-152-0968 for Southern China and 00-801-855-954 for Taiwan. I **ACKNOWLEDGE THAT E*TRADE SECURITIES DOES NOT PROVIDE INVESTMENT, TAX, OR LEGAL ADVICE.** I understand that you will supply my name to issuers of any securities held in my account so that I might receive any important information regarding them, unless I notify you in writing not to do so.

本人已達到訂立此合約的法定年齡。本人確認本人已經收到、閱讀E*TRADE證券客戶協議書目前所列載及可不時修訂的條款及條件，並同意接受這些條款及條件約束。關於E*TRADE證券客戶協議書的內容，請瀏覽我們的網址etrade.com（選擇“香港”或“新加坡”）或致電(852)3191-3311（香港）或(65)6438-8228（新加坡），或我們的免費長途電話號碼10-800-852-0968（中國北方）、10-800-152-0968（中國南方）和00-801-855-954（台灣）。本人確認E*TRADE SECURITIES並無提供有關投資、稅務或法律的意見。本人明白，除非本人向貴公司提出書面反對，否則貴公司將把本人的姓名提供給本人帳戶所持任何證券的發行人，以使本人能收到任何關於這些發行人的重要資料。

Under penalty of perjury, I certify (1) that my Social Security or taxpayer ID number shown on this form is my correct number, (2) that I am not subject to backup withholding because (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report interest or dividends, or (c) I have been notified by the IRS that I am no longer subject to backup withholding [cross out item 2 if you have been notified by the IRS that you are currently subject to backup withholding because you failed to report all interest and dividends on your tax returns], and (3) I am a U.S. person (including a U.S. resident alien). **The Internal Revenue Service does not require your consent to any provision of this document other than the certification required to avoid backup withholding.**

在偽造有罪的情況下，本人證明(1)本表格所示本人的社會安全號碼或納稅人識別號碼正確無誤；(2)本人毋須繳納備用預扣稅，因為(a)本人獲豁免繳納備用預扣稅，或(b)本人並無因未申報利息或股息收入而接獲稅務局通知須繳納備用預扣稅，或(c)本人已接獲稅務局通知本人毋須再繳納備用預扣稅（如果您已因未在報稅表中申報全部利息或股息收入而接獲稅務局通知須繳納備用預扣稅，請刪去第2項。）；及(3)本人是美國人（包括屬美國居民的外籍人士）。除免繳備用預扣稅所需證明外，稅務局並無要求您同意本文件內任何條文。

- ☒ I am not a U.S. person and have attached Form W-8BEN to this application. I have also included a copy of my passport or government-issued ID.
本人不是美國人，並已隨本申請書附上W-8BEN表格，以及本人的護照或政府簽發的身份證副本。

In connection with your E*TRADE Securities Account, please be advised that ETRADE Securities (Hong Kong) Limited will receive compensation for referring your account to E*TRADE Securities LLC, an affiliated company as well as providing certain customer services to you. The compensation to ETRADE Securities (Hong Kong) Limited will be based on commissions generated, cash balances and margin loans. You do not pay any additional fee as a result of this referral arrangement.

關於客戶的僅創理財證券帳戶，閣下請注意，聯屬公司E*TRADE Securities LLC將為您提供相關服務，而ETRADE Securities (Hong Kong) Limited可能從推薦您至該公司之帳戶取得報酬。ETRADE Securities (Hong Kong) Limited提取報酬之多寡，將以相關佣金、現金結餘及保證金貸款之數額釐定。除此以外，您不必因此介紹人安排而支付任何額外費用。

- ☒ I acknowledge the existence of the compensation arrangement described above.
本人確認以上之報酬安排。

I UNDERSTAND THAT THIS ACCOUNT IS GOVERNED BY A PREDISPUTE ARBITRATION CLAUSE. I ACKNOWLEDGE THAT I HAVE RECEIVED AND READ A COPY OF THE E*TRADE SECURITIES CUSTOMER AGREEMENT WHICH CONTAINS A PREDISPUTE ARBITRATION AGREEMENT AT SECTION 8.

本人明白，此帳戶受E*TRADE證券客戶協議書第8部份的爭端仲裁條款之規管。本人確認已經收到並閱讀E*TRADE證券客戶協議書，當中包括第8部份的爭端仲裁協議書。

X 蘇立昭 05/28/2008
Signature of Primary Account Holder 主賬戶持有人簽名 Date日期

X _____
Signature of Co-Account Holder 聯名帳戶持有人簽名 Date日期

蘇立昭 (LIZHAO SU)
Printed Name (first, middle initial, last) 請用正楷填寫姓名(名、中間名、姓)

Printed Name (first, middle initial, last) 請用正楷填寫姓名(名、中間名、姓)

System response and account access times may vary due to a variety of factors, including trading volumes, market conditions, and system performance.
系統反應和帳戶登入時間可能由於多種因素而有所不同，包括成交量、市場情況和系統表現。

The E*TRADE FINANCIAL family of companies provides financial services including trading, banking and lending for retail and institutional customers. Securities products are offered by E*TRADE Securities LLC (Member FINRA / SIPC). Leveraged foreign exchange and securities products and services are offered in Hong Kong by ETRADE Securities (Hong Kong) Limited (CF No. ACT764) which is licensed by the Hong Kong Securities & Futures Commission. Its principal place of business is at 2401-12, Two Pacific Place, 88 Queensway, Hong Kong. Securities products and services are offered in Singapore by ETRADE Securities (Hong Kong) Limited, Singapore Branch (Business Registration No.: F06703M) which is licensed by the Monetary Authority of Singapore. Its principal place of business is at 80 Raffles Place #36-01, UOB Plaza 1, Singapore 048624. ETRADE Securities (Hong Kong) Limited and The Singapore Branch introduce all applications to trade US securities products to E*TRADE Securities LLC. E*TRADE and the Asterisk logo are registered trademarks of E*TRADE Financial Corporation or its subsidiaries and are used with permission. ©2008 E*TRADE Securities LLC and ETRADE Securities (Hong Kong) Limited & Singapore Branch. All Rights Reserved.

E*TRADE FINANCIAL公司集團為零售及企業客戶提供交易、銀行及借貸等各種金融服務。證券產品由E*TRADE Securities LLC (FINRA/SIPC成員)提供。獲轉式外國交易及服務則由僅創證券(香港)有限公司提供。而僅創證券(香港)有限公司(CF No. ACT764)是受香港證券及期貨事務監察委員會監管的機構。辦公室地址為香港金鐘道88號太古廣場二期2401-12室。在新加坡的證券產品及服務由ETRADE Securities (Hong Kong) Limited, Singapore Branch所提供。ETRADE Securities (Hong Kong) Limited, Singapore Branch註冊於新加坡金融管理局(Monetary Authority of Singapore) (Business Registration No.: F06703M)。辦公室地址為80 Raffles Place #36-01, UOB Plaza 1, Singapore 048624。僅創證券(香港)有限公司及其新加坡分公司介紹所有美國證券產品交易的申請予E*TRADE Securities LLC。E*TRADE及其星型商標是E*TRADE Financial Corporation及其子公司的註冊商標，特准使用。©2008 E*TRADE Securities LLC and ETRADE Securities (Hong Kong) Limited & Singapore Branch。版權所有，不得轉載。

Referred by ETRADE Securities (HK) Ltd. [APPBC 001-0508]



OPTIONS TRADING APPLICATION 期權買賣申請書

E*TRADE Securities LLC
P.O. Box 1542
Merrifield, VA 22116-1542

This application is optional. Complete this form if you would like to apply to add options trading capability to your account. 您可選擇是否填寫此申請書。如您想在帳戶內申請加入期權買賣功能，請填寫本表。
Visit etrade.com/options to learn more about the risks and rewards of options trading. 如想知道更多有關期權買賣風險和回報的資料，請參閱 etrade.com/options。

Options Activity (select only one) 期權活動 (只可選擇其一)

If no box is selected, you will be considered for the options trading level that we, at our discretion, deem suitable for you based on the other information you have provided. 若您沒有在方格作出選擇，您將被視為選擇由我們根據您已提供的其他資料酌情決定認為適合您的期權交易級別。

☐ Level One: Write Covered Calls 第一級：沽出備兌認購期權

☐ Level Two: Level One + Purchases/Covered Puts 第二級：第一級 + 購買/備兌認沽期權

☐ Level Three: Level Two + Spreads/Uncovered Equity Puts

☒ Level Four: Level Three + Uncovered Equity/Index Calls and Uncovered Index Puts

第三級：第二級 + 跨期式期權/無備兌股票認沽期權

第四級：第三級 + 無備兌股票/指數認購期權及無備兌指數認沽期權

Primary Account Holder 主要帳戶持有人

Co-Account Holder, if Applicable 聯名帳戶持有人 (如適用)

Options Investment Knowledge 期權投資知識

☐ None 無 ☐ Limited 有限 ☐ Good 良好 ☒ Excellent 豐富

Options Investment Knowledge 期權投資知識

☐ None 無 ☐ Limited 有限 ☐ Good 良好 ☐ Excellent 豐富

Options Trading Experience 期權買賣經驗

☐ None 無 ☒ Covered calls 備兌認購期權 ☒ Covered puts 備兌認沽期權 ☒ Purchases 購買期權
☒ Spreads 跨期式期權 ☒ Uncovered calls 無備兌認購期權 ☒ Uncovered puts 無備兌認沽期權

Options Trading Experience 期權買賣經驗

☐ None 無 ☐ Covered calls 備兌認購期權 ☐ Covered puts 備兌認沽期權 ☐ Purchases 購買期權
☐ Spreads 跨期式期權 ☐ Uncovered calls 無備兌認購期權 ☐ Uncovered puts 無備兌認沽期權

Any section left blank will be assumed to be zero or none. 任何部分如留空，將被假設為零或無。

Any section left blank will be assumed to be zero or none. 任何部分如留空，將被假設為零或無。

Years of Experience 經驗

Stocks 股票: 15 yrs. 年 Bonds 債券: 20 yrs. 年 Options 期權: 10 yrs. 年

Years of Experience 經驗

Stocks 股票: ____ yrs. 年 Bonds 債券: ____ yrs. 年 Options 期權: ____ yrs. 年

Total Transactions per Year 每年交易次數合計

Stocks 股票 ☐ 0-9 ☐ 10-14 ☒ 15-24 ☐ 25-74 ☐ 75+
Bonds 債券 ☐ 0-9 ☐ 10-14 ☒ 15-24 ☐ 25-74 ☐ 75+
Options 期權 ☐ 0-9 ☐ 10-14 ☒ 15-24 ☐ 25-74 ☐ 75+

Total Transactions per Year 每年交易次數合計

Stocks 股票 ☐ 0-9 ☐ 10-14 ☐ 15-24 ☐ 25-74 ☐ 75+
Bonds 債券 ☐ 0-9 ☐ 10-14 ☐ 15-24 ☐ 25-74 ☐ 75+
Options 期權 ☐ 0-9 ☐ 10-14 ☐ 15-24 ☐ 25-74 ☐ 75+

Average Transaction Size (in US\$) 平均交易金額 (以美元計算)

☐ \$0-\$9,999 ☐ \$10,000-\$24,999 ☒ \$25,000+

Average Transaction Size (in US\$) 平均交易金額 (以美元計算)

☐ \$0-\$9,999 ☐ \$10,000-\$24,999 ☐ \$25,000+

Read and sign below to apply to trade options. 申請買賣期權，請閱讀下文並簽名。

Important: You must also sign in Section 6 of the Brokerage Application before we can open your account. You cannot use this application to upgrade an existing account. If you would like to add options trading capability to an existing account, please use the Margin/Option Account Upgrade Form, which can be found online at etrade.com/forms.

重要事項：您亦須在經紀帳戶申請書第6部份簽名後才可開設帳戶。您不能使用本申請書為任何現有帳戶升級。如果您想在現有帳戶加入期權買賣功能，請使用保證金/期權升級表格 (載於網頁: etrade.com/forms)。

I agree not to enter into any options transactions until I have received, read, and understood the disclosure document entitled Characteristics and Risks of Standardized Options, which can be found at etrade.com/optionsagree. I am aware of the special risks and obligations of options trading. I have read, understood, and agree to be bound by the options trading terms and conditions outlined in section 10 of the E*TRADE Securities Customer Agreement, which can be found at etrade.com/custagree. I also agree that I am bound by it as it is currently in effect and as it is amended from time to time.

本人同意在收到、閱讀及明白一般期權的特性和風險 (Characteristics and Risks of Standardized Options) 一節的披露文件 (載於網頁: etrade.com/optionsagree) 之前，不會進行任何期權交易。本人知道期權買賣的特有風險和責任。本人已經閱讀、明白E*TRADE證券客戶協議書第10部分 (載於網頁: etrade.com/custagree) 所載列的期權買賣條款及條件並同意受其約束，且同意本人受目前有效及可不時修訂的此等條款及條件所約束。

X  05/28/2008
Signature of Primary Account Holder 主要帳戶持有人簽名 Date 日期

X _____
Signature of Co-Account Holder 聯名帳戶持有人簽名 Date 日期

For E*TRADE Securities Use Only: 僅供E*TRADE Securities填寫:

I have reviewed this application and believe the account is suitable for: ☐ Margin 保證金 ☐ Cash 現金
本人已審閱本申請書，認為宜就此開設下列帳戶：
☐ Options Level One 第一級期權買賣 ☐ Options Level Two 第二級期權買賣 ☐ Options Level Three 第三級期權買賣 ☐ Options Level Four 第四級期權買賣

Approved 批准 _____ Date 日期 _____
Approved 批准 _____ Date 日期 _____

System response and account access times may vary due to a variety of factors, including trading volumes, market conditions, and system performance. 系統反應和帳戶登入時間可能由於多種因素而有所不同，包括成交量、市場情況和系統表現。

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Referred by E*TRADE Securities (HK) Ltd. (APPBC 001-0508)

**Certificate of Foreign Status of Beneficial Owner
for United States Tax Withholding**

OMB No. 1545-1621

► Section references are to the Internal Revenue Code. ► See separate instructions.
► Give this form to the withholding agent or payer. Do not send to the IRS.

Do not use this form for:

- A U.S. citizen or other U.S. person, including a resident alien individual Instead, use Form: **W-9**
- A person claiming that income is effectively connected with the conduct of a trade or business **W-8ECI**
in the United States
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (see instructions for exceptions) **W-8ECI or W-8IMY**
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization,
foreign private foundation, or government of a U.S. possession that received effectively connected income or that is
claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (see instructions) **W-8ECI or W-8EXP**

Note: These entities should use Form W-8BEN if they are claiming treaty benefits or are providing the form only to
claim they are a foreign person exempt from backup withholding.

- A person acting as an intermediary **W-8IMY**
- Note: See instructions for additional exceptions.

Part I Identification of Beneficial Owner (See instructions.)

1 Name of individual or organization that is the beneficial owner Lizhao SU		2 Country of incorporation or organization N/A																
3 Type of beneficial owner: <table style="width: 100%;"><tr><td><input checked="" type="checkbox"/> Individual</td><td><input type="checkbox"/> Corporation</td><td><input type="checkbox"/> Disregarded entity</td><td><input type="checkbox"/> Partnership</td><td><input type="checkbox"/> Simple trust</td></tr><tr><td><input type="checkbox"/> Grantor trust</td><td><input type="checkbox"/> Complex trust</td><td><input type="checkbox"/> Estate</td><td><input type="checkbox"/> Government</td><td><input type="checkbox"/> International organization</td></tr><tr><td><input type="checkbox"/> Central bank of issue</td><td><input type="checkbox"/> Tax-exempt organization</td><td><input type="checkbox"/> Private foundation</td><td colspan="2"></td></tr></table>				<input checked="" type="checkbox"/> Individual	<input type="checkbox"/> Corporation	<input type="checkbox"/> Disregarded entity	<input type="checkbox"/> Partnership	<input type="checkbox"/> Simple trust	<input type="checkbox"/> Grantor trust	<input type="checkbox"/> Complex trust	<input type="checkbox"/> Estate	<input type="checkbox"/> Government	<input type="checkbox"/> International organization	<input type="checkbox"/> Central bank of issue	<input type="checkbox"/> Tax-exempt organization	<input type="checkbox"/> Private foundation		
<input checked="" type="checkbox"/> Individual	<input type="checkbox"/> Corporation	<input type="checkbox"/> Disregarded entity	<input type="checkbox"/> Partnership	<input type="checkbox"/> Simple trust														
<input type="checkbox"/> Grantor trust	<input type="checkbox"/> Complex trust	<input type="checkbox"/> Estate	<input type="checkbox"/> Government	<input type="checkbox"/> International organization														
<input type="checkbox"/> Central bank of issue	<input type="checkbox"/> Tax-exempt organization	<input type="checkbox"/> Private foundation																
4 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address. WANGJING HUAYUAN DONGQU, BUILDING #213, ROOM #1704 City or town, state or province. Include postal code where appropriate. BEIJING CHAOYANG DISTRICT, BEIJING, 100102 Country (do not abbreviate) P.R. CHINA																		
5 Mailing address (if different from above) City or town, state or province. Include postal code where appropriate. Country (do not abbreviate)																		
6 U.S. taxpayer identification number, if required (see instructions) <input type="checkbox"/> SSN or ITIN <input type="checkbox"/> EIN		7 Foreign tax identifying number, if any (optional)																
8 Reference number(s) (see instructions)																		

Part II Claim of Tax Treaty Benefits (if applicable)

- 9** I certify that (check all that apply):
- a** ☒ The beneficial owner is a resident of China within the meaning of the income tax treaty between the United States and that country.
 - b** ☐ If required, the U.S. taxpayer identification number is stated on line 6 (see instructions).
 - c** ☐ The beneficial owner is not an individual, derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits (see instructions).
 - d** ☐ The beneficial owner is not an individual, is claiming treaty benefits for dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation, and meets qualified resident status (see instructions).
 - e** ☐ The beneficial owner is related to the person obligated to pay the income within the meaning of section 267(b) or 707(b), and will file Form 8833 if the amount subject to withholding received during a calendar year exceeds, in the aggregate, \$500,000.
- 10** Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article _____ of the treaty identified on line 9a above to claim a _____ % rate of withholding on (specify type of income): _____
Explain the reasons the beneficial owner meets the terms of the treaty article: _____

Part III Notional Principal Contracts

- 11** ☐ I have provided or will provide a statement that identifies those notional principal contracts from which the income is not effectively connected with the conduct of a trade or business in the United States. I agree to update this statement as required.

Part IV Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- 1. I am the beneficial owner (or am authorized to sign for the beneficial owner) of all the income to which this form relates,
 - 2. The beneficial owner is not a U.S. person.
 - 3. The income to which this form relates is (a) not effectively connected with the conduct of a trade or business in the United States, (b) effectively connected but is not subject to tax under an income tax treaty, or (c) the partner's share of a partnership's effectively connected income, and
 - 4. For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.
- Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner.

Sign Here

Signature of beneficial owner (or individual authorized to sign for beneficial owner)

Date (MM-DD-YYYY)

Capacity in which acting

ID ADDRESS PR

ID ADDRESS PROOF

Lichao Su
Wansijing Hunyuan Donggu,
Building #213, Room #1704,
Beijing Chaoyang District
100102, China



EXHIBIT 11



ACCOUNT INFORMATION FOR ZHIQING YIN

CUSTOMER SUMMARY FOR ZHIQING YIN

Title:	Zhiqing Yin
Applicant ID:	2321461
Type:	INDIVIDUAL
Legal Country:	China
Mailing Address:	Apt# 1704, Building #213,, Wangjing Huayuan Dongqu, ChaoYang, Beijing, Beijing, 100102, China
E-mail Address:	zhiqingyin@hotmail.com
Primary user name:	zhiqin317
Employer:	Set/Unset Employer
Good-faith Review:	

ACCOUNTS OF ZHIQING YIN

	ID	VAN	Type	Activated Capabilities	Status	Priority	Equity yesterday
✱	198	198	Active Trader	BOND CFD FOP FUND FUT LEVFX OPT SSF STK MRGN PMRGN	Open.	FATCA - 2	24,914,518 USD
✱	98F	198F	Active Trader	CFD CMDTY FOP FUT OPT MRGN	Open.	FATCA - 2	0 USD

Account Summary For 198

198

ID:	198 (VAN: 198)	Equity yesterday:	24,914,518 USD
Type:	Active Trader	Started:	27 May 2015
Activated Capabilities:	BOND CFD FOP FUND FUT LEVFX OPT SSF STK MRGN PMRGN	Approved:	28 May 2015
Status:	Open. Clearing Status	Opened:	28 May 2015
Phylum	C - Customer	Funded:	27 Jul 2015
Priority	FATCA - 2 Change Priority	Closed:	
IB Entity:	IBLLC-US	Operator:	
Currency:	USD	Estate:	

TMS tickets

TMS sticky notes

Assign to ASG

Account Diagnostic

PRIOR NOTES

Hide all

1. Note	hide
Upgrade approved	
Operator: cjhans	Date: 06 Jan 2016
2. Note	hide
ok, Approved for PMRGN	
Operator: dbridges	Date: 28 May 2015

CUSTOMER CONFIG

Account Config

Nothing Set

Edit Account Config

Internal Account Settings

Nothing Set

Edit Account Settings

ACCOUNT APPROVAL DECISION

CLICK to see Account Reopen History

Decision: Accepted (Initial)

Proclamations: Based on the fact that this customer has satisfied Interactive Brokers' threshold financial criteria to trade security futures, and based on IB's verification of relevant account information under IB's written account approval and anti-money laundering procedures, and based on my review of all information provided by the customer, including but not limited to the customer's investment objectives, employment status, annual income, net worth, liquid net worth, marital status, number of dependents, age and investment experience, I approve this account for trading security futures.

I have reviewed and approved this account for portfolio margin, based on my review of all financial and investment information provided by the customer, and based on the fact that the account is eligible for uncovered option trading and has acknowledged receipt of and agreement with the Portfolio Margin Risk Disclosure.

Deciding User: smitman

Deciding Time: 28 May 2015 12:05:52 EDT

Initial Capabilities: BOND FOP FOREX FUT LEVFX MRGN MULT OPT PMRGN SSF STK

Compliance Officer: dbridges

Compliance Time: 28 May 2015 10:20:39 EDT

Risk Officer: smitman

Risk Time: 28 May 2015 12:05:52 EDT

Additional Remarks:

ACCOUNT UPGRADE DECISIONS

All Requested Capabilities: BOND CFD FOP FOREX FUND FUT LEVFX MRGN MULT OPT PMRGN SSF STK

Decision: Accepted

Exhibit 11

ACCOUNT UPGRADE DECISIONS

All Requested Capabilities: BOND CFD FOP FOREX FUND FUT LEVFX MRGN MULT OPT PMRGN SSF STK

Decision: Accepted

Proclamations: Based on the fact that this customer has satisfied Interactive Brokers' threshold financial criteria to trade security futures, and based on IB's verification of relevant account information under IB's written account approval and anti-money laundering procedures, and based on my review of all information provided by the customer, including but not limited to the customer's investment objectives, employment status, annual income, net worth, liquid net worth, marital status, number of dependents, age and investment experience, I approve this account for trading security futures.

Deciding Officer: cjohans

Deciding Time: 06 Jan 2016 13:56:00 EST

Compliance Officer: cjohans

Compliance Time: 06 Jan 2016 13:56:00 EST

Additional Remarks:

ADDITIONAL APPLICANT/REGISTRATION INFORMATION

APPLICANT INFO

Applicant ID: 2321461
Country of Legal residence: China
Applicant Citizenship: China
US Income Tax Classification: NOT AVAILABLE

Market Data Status: Non-Professional
Token Type: Gold
Display U.S. Indicia Check Result:
Show FATCA RWE Resolution

Primary Phone: +8613651266918

Mailing Address: Apt# 1704, Building #213,, Wangjing Huayuan Dongqu,
Chaoyang
Beijing, Beijing, 100102
China

Currency/Rate: USD (1)

Marketing/Sales Info:
Assisted by: self

Change Applicant Information |

IPO CERTIFICATION INFORMATION

No response

EXCESS SWEEP

None

INVESTMENT EXPERIENCE

	Years of Experience	# of Trades per Year	Knowledge Level
Stocks	> 10	51 - 100	Extensive
Options	6 - 10	11 - 25	Good
Commodities	6 - 10	11 - 25	Good
Bond	> 10	51 - 100	Good
FX	6 - 10	1 - 10	Good
CFD	N/A	N/A	0

FINANCIAL INFORMATION

Estimated Net Worth	5,000,001 - 10,000,000	Estimated Liquid Net Worth	> 5,000,001
Net Income	250,001 - 500,000	Sources of Funds (Other than regular income)	Sources of Income
Total Assets	5,000,001	Accredited Investor for Private Placement?	No
		Invited to Private Placement?	No

INVESTMENT OBJECTIVES

Growth, Trading, Speculation, Hedging

Edit Objective

TAX BASIS CONFIGURATION

TAX BASIS	LAST EDIT	EDITED BY
FIFO (First In First Out)		

TAX SYSTEM STATUS

Current Tax System Class:	Current Tax System Country:	Reported Tax System Class:	Reported Tax System Country:
N8	CN	N8	CN

WS INFO

Tax Form History

Display Pending Tax Forms

BASIC INFORMATION

Form: ~~US Form 990-BEN~~
Business Name: null
Submitted: 22 Oct 2015 06:50:21 EDT
For Interest: No
For Dividend: No
For Broker: No
QI Verified: No
Beneficial Owner: N/A
Citizenship: China
FATCA Entity Type: Unknown
FATCA Status: UNKNOWN
FATCA Hybrid Treaty Claim: UNKNOWN
Residential Address:

ADDITIONAL INFORMATION

PARAMETER NAME	US-ASCII VALUE	NATIVE VALUE
ACCOUNT_TITLE	Mr. Zhiqing Yin	
PART_2_9A_COUNTRY	China	
SIGNATURES	Zhiqing Yin	
W8BENCERT1	T	
W8BENCERT2	T	
W8BENCERT3	T	
W8BENCERT4	T	
W8BENCERT5	T	

Exhibit 11

5/17/2016 7:14 PM
SEC-IB-E-0002999



Mailing Address: Same as residential address

Change Info Request Proof of ID and DOB Request Proof of Address Request Proof of SSN Mark as PEP Ownership History

Sessions: User: zhiqin317 (U8929198) Active in TWS: Yes



ACCOUNT ASSOCIATED ENTITIES U8929198

Show all

No Associated Entity

DISCIPLINARY EVENTS

QUESTION	ANSWER	NATIVE ANSWER
Has the account holder ever been the subject of, or initiated, litigation, arbitration or any other type of dispute or settlement procedure with another broker or dealer?	N/A	N/A
Has the account holder ever been the subject of an investigation or proceeding by any commodities or securities exchange or regulatory authority or self-regulatory authority?	N/A	N/A

COMPLIANCE/REGULATORY INFORMATION

Is the account holder or any immediate family member who resides in the same household, registered as a broker-dealer or an employee, director or owner of a securities or commodities brokerage firm? No

Add Broker-Dealer Affiliation



QUESTION	ANSWER	NATIVE ANSWER
Is the account holder a member of an exchange or an associated person, affiliated person or employee of an exchange member?	N/A	N/A
Is the account holder a member of a regulatory or a self-regulatory organization?	N/A	N/A
Is the account holder: i) a director; ii) a 10% shareholder; or iii) a policy-making officer of any publicly traded company? (Restricted or Controlled Stock)	No	N/A
Is exactly a registered financial advisor?	N/A	N/A
Accepted Futures Arbitration Agreement?	Yes	Yes

Edit Compliance Information Change Arbitration Agreement

U.S. SEC LARGE TRADER ID INFORMATION



Show information on U.S. SEC large Trader ID information

EXCHANGE MEMBERSHIP AND COMMISSION INFO

COMMISSION TYPE	STATUS	DATE REQUESTED	DATE EFFECTIVE
Securities	Bundled		
Commodities	Bundled		

EXCHANGE CODE	CLASS
Add an Exchange class	
REGULATORY CODE	CLASS
Add a Regulatory class	

EQUIFAX ID/ ADDRESS VERIFICATION REPORTS

No Equifax/CDC verification reports for this Account.



OFAC, SANCTIONED AND CONTROL LIST/PROHIBITED CUSTOMER LIST SEARCHES

Name	Matches	
Search (# 108155830) for Mr. Zhiqing Yin (Account Holder)		Complete - no match found hide
Zhiqing Yin	No Matches found.	Processing time: 14 May 2016 15:18:49 EDT

WORLD CHECK TASKS

Name	Matches	
WorldCheck Search (# 108155831) for Mr. Zhiqing Yin (Account Holder)		Complete - no match found hide
Zhiqing Yin	No Matches found.	Processing time: 27 May 2015 11:37:10 EDT

DOCUMENT SUBMISSION TASKS

Reject Multiple

DOCUMENT SUBMISSION TASK	DOCUMENT RECEIVED	STATUS	ACTIONS
Legal Acknowledgement for Zhiqing Yin	Received form Legal Acknowledgement	Approved (smritman) on 28 May 2015 12:05:52 EDT	Exhibit 11
Proof of identity and date of birth for Mr. Zhiqing Yin (Account Holder)	National ID X8LLC-435-2705433.pdf via Form Upload 27 May 2015 11:36:22 EDT	Approved (smritman) on 28 May 2015 12:05:52 EDT	
Proof of address for Mr. Zhiqing Yin (Account Holder)	Hukou X8LLC-435-2705434.pdf via Form Upload 27 May 2015 11:36:55 EDT	Approved (smritman) on 28 May 2015 12:05:52 EDT	



Zhiqing Yin (Account Holder)	Upload 27 May 2015 11:36:22 EDT		
Proof of address for Mr. Zhiqing Yin (Account Holder)	Hukou X811C-115-2705434.pdf via Form Upload 27 May 2015 11:36:55 EDT	Approved (smnman) on 28 May 2015 12:05:52 EDT	

COMPLIANCE REVIEWS

Mark Tasks for Further Review		
User	Task	Status
zhiqin317	Investor Category for Zhiqing Yin	Completed on 04 Nov 2015 11:17:13 EDT
zhiqin317	U.S. Indicia Check for Zhiqing Yin	To Be Completed Process it



EXHIBIT 12

ACCOUNT INFORMATION FOR JUN QIN

CUSTOMER SUMMARY FOR JUN QIN

Title:	Jun Qin
Applicant ID:	2320555
Type:	INDIVIDUAL
Legal Country:	China
Mailing Address:	Apt #107, Building #8, DaHuiSi 8 Hao, HaiDian District, Beijing, Beijing, 100081, China
E-mail Address:	maxqin0919@hotmail.com
Primary user name:	maxqin0919
Employer:	Set/Unset Employer
Good-faith Review:	

ACCOUNTS OF JUN QIN

	ID	VAN	Type	Activated Capabilities	Status	Priority	Equity yesterday
★	3920	3920	Active Trader	BOND FOP FUT LEVFX OPT SSF STK MRGN PMRGN	Open.	FATCA - 2	4,489,907 USD
☆	920F	920F	Active Trader	FOP FUT OPT MRGN	Open.	FATCA - 2	0 USD

Account Summary For 3920

3920

ID:	3920 (VAN: 3920)	Equity yesterday:	4,489,907 USD
Type:	Active Trader	Started:	26 May 2015
Activated Capabilities:	BOND FOP FUT LEVFX OPT SSF STK MRGN PMRGN	Approved:	16 Jun 2015
Status:	Open. Clearing Status	Opened:	16 Jun 2015
Phylum	C - Customer	Funded:	27 Jul 2015
Priority	FATCA - 2 Change Priority	Closed:	
IB Entity:	IBLLC-US	Operator:	
Currency:	USD	Estate:	

TMS tickers

TMS sticky notes

Assign to ASG

Account Diagnostic

PRIOR NOTES

Hide all

1. Note	hide
ok, Approved for PMRGN	
Operator: dbridges	Date: 16 Jun 2015
2. Note	hide
Reviewed and cleared account for further processing	
Operator: mheideman	Date: 16 Jun 2015
3. Note	hide
client confirmed employment details via email	
Operator: mheideman	Date: 16 Jun 2015
4. Note	hide
clarify source of funds (UNEMPLOYED: Provide additional details of income sources which totals 100%.	
dbridges	
Operator: dbridges	Date: 15 Jun 2015
5. Note	hide
IB's Compliance Department has reviewed the potential match. No further follow-up will be required as the potential match has been determined to be false-positive based on legal name, DOB and location not an exact match.	
Operator: ewong	Date: 26 May 2015

CUSTOMER CORRESP

Account Config
Nothing Set
Edit Account ConfigInternal Account Settings
Nothing Set
Edit Account Settings

ACCOUNT APPROVAL DECISION

CLICK to see Account Reopen History

Decision: Accepted (Initial)

Proclamations: Based on the fact that this customer has satisfied Interactive Brokers' threshold financial criteria to trade security futures, and based on IB's verification of relevant account information under IB's written account approval and anti-money laundering procedures, and based on my review of all information provided by the customer, including but not limited to the customer's investment objectives, employment status, annual income, net worth, liquid net worth, marital status, number of dependents, age and investment experience, I approve this account for trading security futures.

I have reviewed and approved this account for portfolio margin, based on my review of all financial and investment information provided by the customer, and based on the fact that the account is eligible for uncovered option trading and has acknowledged receipt of and agreement with the Portfolio Margin Risk Disclosure.

Deciding User: smitman
Deciding Time: 16 Jun 2015 10:52:58 EDT

Exhibit 12

Initial Capabilities: BOND FOP FOREX FUT LEVFX MRGN MULT OPT PMRGN SSF STK

5/17/2016 7:20 PM
SEC-IB-E-0001777

Deciding User: smitman

Deciding Time: 16 Jun 2015 10:52:53 EDT

Initial Capabilities: BOND FOP FOREX FUT LEVFX MRGN MULT OPT PMRGN SSF STK

Compliance Officer: dbridges

Compliance Time: 16 Jun 2015 10:08:46 EDT

Risk Officer: smitman

Risk Time: 16 Jun 2015 10:52:58 EDT

Additional Remarks:

ACCOUNT UPGRADE DECISIONS

No Upgrade Decisions yet

ADDITIONAL APPLICANT/REGISTRATION INFORMATION

APPLICANT INFO

Applicant ID: 2320555	Primary Phone: +8613601192103
Country of Legal residence: China	Mailing Address: Apt #107, Building #8, DahuiSi 8 Hao, HaiDian District
Applicant Citizenship: China	Beijing, Beijing, 100081
US Income Tax Classification: NOT AVAILABLE	China
Market Data Status: Non-Professional	Currency/Rate: USD (1)
Token Type: Bingo	Marketing/Sales Info:
Display U.S. Indicia Check Result	Assisted by: self
Show FATCA RWE Resolution	

Change Applicant Information |

IPO CERTIFICATION INFORMATION

No response

EXCESS SWEEP

None

INVESTMENT EXPERIENCE

	Years of Experience	# of Trades per Year	Knowledge Level
Stocks	> 10	51 - 100	Extensive
Options	> 10	51 - 100	Extensive
Commodities	2	1 - 10	Good
Bond	1	1 - 10	Good
FX	3	1 - 10	Good
CFD	N/A	N/A	0

FINANCIAL INFORMATION

Estimated Net Worth	1,000,001 - 5,000,000	Estimated Liquid Net Worth	1,000,001 - 5,000,000
Net Income	150,001 - 250,000	Sources of Funds (Other than regular income)	Sources Of Income
Total Assets	1,000,001	Accredited Investor for Private Placement?	No
		Invited to Private Placement?	No

INVESTMENT OBJECTIVES

Growth, Trading, Speculation, Hedging

Edit Objective

TAX BASIS CONFIGURATION

TAX BASIS	LAST EDIT	EDITED BY
FIFO (First In First Out)		

TAX SYSTEM STATUS

Current Tax System Class:	Current Tax System Country:	Reported Tax System Class:	Reported Tax System Country:
N8	CN	N8	CN

WS INFO

Tax Form History

Display Pending Tax Forms

BASIC INFORMATION

Form: View W-88EN
Business Name: null
Submitted: 04 Nov 2015 07:56:14 EST
For Interest: No
For Dividend: No
For Broker: No
QI Verified: No
Beneficial Owner: N/A
Citizenship: China
FATCA Entity Type: Unknown
FATCA Status: UNKNOWN
FATCA Hybrid Treaty Claim: UNKNOWN
Residential Address:
Apt #107, Building #8 DahuiSi 8 Hao, HaiDian District
Beijing, Beijing, 100081
China

ADDITIONAL INFORMATION

PARAMETER NAME	US-ASCII VALUE	NATIVE VALUE
ACCOUNT_TITLE	Mr. Jun Qin	
PART_2_9A_COUNTRY	China	
SIGNATURES	Jun Qin	
W8BENCERT1	T	
W8BENCERT2	T	
W8BENCERT3	T	
W8BENCERT4	T	
W8BENCERT5	T	

Exhibit 12

FATCA Hybrid Treaty Claim: UNKNOWN
Residential Address:
Apt #107, Building #8 DaHuiSi 8 Hao, HaiDian District
Beijing, Beijing, 100081
China

W8BENCERT5 T

Native Residential Address:

Beijing, Beijing

Mailing Address:

Beijing, Beijing, 100081

Native Mailing Address:

Beijing, Beijing

Expiration Date: None

There is no any GIIN Verification record in our database

Customer signed the Affidavit Of Prior Periods on 04 Nov 2015 07:56:14 EST

Task number	Entity Id	Tax Form Type	Affidavit Date
119472183	27090587	BEN	26 May 2015

US Tax Info

Tax Form History

Display Pending Tax Forms

No W-9 form available or applicable.

IRS Tax Verification Status

No TIN Verification done with IRS.

ACCOUNT Tax ID

N.A.(China) INVALID

FINANCIAL REGULATION REGISTRATION INFORMATION**INVESTOR CATEGORY****Active Categories**

COUNTRY	REGULATOR'S NAME	SERVICE TYPE	REGISTRATION TYPE	REGISTRATION ID
INVESTOR CATEGORY		QUESTIONNAIRE	CATEGORY TS	REASON
AI	Accredited Investor	Individual	26 May 2015	Customer Customer self-declared

History

DIVIDEND REINVESTMENT PLAN (DRIP)

There is no DRIP for this account!

Show Drip History

APPLICANT ASSOCIATED ENTITIES

Show all

MR. JUN QIN (ACCOUNT HOLDER)**Mr. Jun Qin**

Individual (27090587)

Ownership
Ownership percentage: 100.0
Detailed Ownership Information

Contact Info
Mobile Phone: +8613601192103
Mobile (PRIMARY): (86) +8613601192103
Details

Personal Info
Citizenship: China
DOB: 1970
Country of Birth: China
Marital Status: M
Gender: M

Legal ID
National ID: 110101197009192539 (China)
Tax ID(s)
N.A. (China) - INVALID

Addresses
Residential Address: Apt #107, Building #8,
DaHuiSi 8 Hao, HaiDian District
Beijing, Beijing, 100081
China
Mailing Address: Same as residential address

Employer Info
Employment Status: EMPLOYED
Occupation: Quality Department Manager
Employer: Legrand (Beijing) Electrical Co., Ltd.
Employer Business: manufacturing electrical
products and installation
Employer Address: No. 4 Chaoqian Rd.,
Changping, Kejiyuan Qu
Beijing, NA, 102200
China

Change Info Request Proof of ID and DOB Request Proof of Address Request Proof of SSN Mark as PEP Ownership History

Sessions:

User: maxqin919 (U8928920F)

Active in TWS: Yes

Exhibit 12

Sessions:

User: maxqin919 (U8928920F)

Active in TWS: Yes

ACCOUNT ASSOCIATED ENTITIES U8928920

Show all

No Associated Entity

DISCIPLINARY EVENTS

QUESTION	ANSWER	NATIVE ANSWER
Has the account holder ever been the subject of, or initiated, litigation, arbitration or any other type of dispute or settlement procedure with another broker or dealer?	N/A	N/A
Has the account holder ever been the subject of an investigation or proceeding by any commodities or securities exchange or regulatory authority or self-regulatory authority?	N/A	N/A

COMPLIANCE/REGULATORY INFORMATION

Is the account holder or any immediate family member who resides in the same household, registered as a broker-dealer or an employee, director or owner of a securities or commodities brokerage firm? No

Add Broker-Dealer Affiliation

QUESTION	ANSWER	NATIVE ANSWER
Is the account holder a member of an exchange or an associated person, affiliated person or employee of an exchange member?	N/A	N/A
Is the account holder a member of a regulatory or a self-regulatory organization?	N/A	N/A
Is the account holder: i) a director; ii) a 10% shareholder; or iii) a policy-making officer of any publicly traded company? (Restricted or Controlled Stock)	No	N/A
Is exactly a registered financial advisor?	N/A	N/A
Accepted Futures Arbitration Agreement?	No Decision	No Decision

Edit Compliance Information

Change Arbitration Agreement

U.S. SEC LARGE TRADER ID INFORMATION

Show information on U.S. SEC large Trader ID Information

EXCHANGE MEMBERSHIP AND COMMISSION INFO

COMMISSION TYPE	STATUS	DATE REQUESTED	DATE EFFECTIVE
Securities	Bundled		
Commodities	Bundled		

EXCHANGE CODE	CLASS
Add an Exchange class	
REGULATORY CODE	CLASS
Add a Regulatory class	

EQUIFAX ID/ADDRESS VERIFICATION REPORTS

No Equifax/CDC verification reports for this Account.

OFAC, SANCTIONED AND CONTROL LIST/PROHIBITED CUSTOMER LIST SEARCHES

Name	Matches
Search (# 108065574) for Mr. Jun Qin (Account Holder)	Complete - no match found Hide
Jun Qin	No Matches found. Processing time: 14 May 2016 15:20:12 EDT

WORLD CHECK TASKS

Name	Matches
WorldCheck Search (# 108065575) for Mr. Jun Qin (Account Holder)	False positive - Not an actual match. Hide
Jun Qin	Processing time: 26 May 2015 08:58:04 EDT Additional Notes: IB's Compliance Department has reviewed the potential match. No further follow-up will be required as the potential match has been determined to be false-positive based on legal name, DOB and location not an exact match. (ewong - 26 May 2015 20:22:37 EDT)

DOCUMENT SUBMISSION TASKS

Project Multiple

DOCUMENT SUBMISSION TASK	DOCUMENT RECEIVED	STATUS	ACTIONS
Legal Acknowledgement for Jun Qin	Received form Legal Acknowledgement	Approved (smitman) on 16 Jun 2015 11:52:58 EDT	

Exhibit 12

Reject Multiple

DOCUMENT SUBMISSION TASK	DOCUMENT RECEIVED	STATUS	ACTIONS
Legal Acknowledgement for Jun Qin	Received form Legal Acknowledgement	Approved (smithman) on 16 Jun 2015 10:52:58 EDT	
Proof of identity and date of birth for Mr. Jun Qin (Account Holder)	National ID Y811C-US-2702859.PDF via Form Upload 26 May 2015 08:52:37 EDT	Approved (smithman) on 16 Jun 2015 10:52:58 EDT	

COMPLIANCE REVIEWS

Mark Tasks for Further Review

User	Task	Status
maxqin919	U.S. Indicia Check for Jun Qin	To Be Completed Process it
maxqin919	Additional Verification of Account Information for Jun Qin	Completed on 16 Jun 2015 09:25:13 EDT Reviewed and cleared account for further processing (mheideman)

EXHIBIT 13

ACCOUNT INFORMATION FOR YAN ZHOU

CUSTOMER SUMMARY FOR YAN ZHOU

Title:	Yan Zhou
Applicant ID:	2226819
Type:	INDIVIDUAL
Legal Country:	China (native application: zh_CN)
Mailing Address:	26-3-201, Longhuhaowangshan, 2# Yuan, Xinniunan Rd, Niulanshanzhen, Shunyi, Beijing, Beijing, 100301, China
E-mail Address:	57979@qq.com
Primary user name:	julia622
Employer:	Set/Unset Employer
Good-faith Review:	

ACCOUNTS OF YAN ZHOU

ID	VAN	Type	Activated Capabilities	Status	Priority	Equity yesterday
1566	1566	Active Trader	BOND CFD FOP FUND FUT OPT STK MRGN PMRGN	Open.	FATCA - 2	829,937 USD
1566F	1566F	Active Trader	FOP FUT OPT MRGN	Open.	FATCA - 2	0 USD

ACCOUNT SUMMARY FOR 1566

1566

ID:	1566 (VAN: 1566)	Equity yesterday:	829,937 USD
Type:	Active Trader	Started:	18 Jan 2015
Activated Capabilities:	BOND CFD FOP FUND FUT OPT STK MRGN PMRGN	Approved:	23 Jan 2015
Status:	Open. Clearing Status	Opened:	23 Jan 2015
Phylum:	C - Customer	Funded:	04 Feb 2015
Priority:	FATCA - 2 Change Priority	Closed:	
IB Entity:	IBLLC-US	Operator:	
Currency:	USD	Estate:	

TMS tickets

TMS sticky notes

Assign to ASG

Account Diagnostic

PRIOR NOTES

Hide all

1. Note	hide
PMRGN upgrade request approved	
Operator: dbridges	Date: 18 May 2015
2. Note	hide
upgrade request approved	
Operator: dbridges	Date: 10 Feb 2015
3. Note	hide
upgrade request approved	
Operator: dbridges	Date: 05 Feb 2015
4. Note	hide
IB's Compliance Department has reviewed the potential match. No further follow-up will be required as the potential match has been determined to be false-positive based on legal name includes Chinese characters, DOB and location not an exact match.	
Operator: ewong	Date: 20 Jan 2015

CUSTOMER CONFIG

Account Config

Nothing Set

Edit Account Config

Internal Account Settings

Nothing Set

Edit Account Settings

ACCOUNT APPROVAL DECISION

CLICK to see Account Reopen History

Decision: Accepted (Initial)

Proclamations:

Deciding User: dbridges

Deciding Time: 23 Jan 2015 12:11:43 EST

Initial Capabilities: BOND MULT STK

Additional Remarks:

ACCOUNT UPGRADE DECISIONS

All Requested Capabilities: BOND CFD FOP FUND FUT MRGN MULT OPT PMRGN STK

Decision: Accepted

Proclamations: I have reviewed and approved this account for portfolio margin, based on my review of all financial and investment information provided by the customer, and based on the fact that the account is eligible for uncovered option trading and has acknowledged receipt of and agreement with the Portfolio Margin Risk Disclosure.

Deciding Officer: smitman

Deciding Time: 18 May 2015 10:33:35 EDT

5/18/2016 5:53 PM
SEC-IB-E-0001531

and based on the fact that the account is eligible for uncovered option trading and has acknowledged receipt of and agreement with the Portfolio Margin Risk Disclosure.

Deciding Officer: smitman
Deciding Time: 18 May 2015 10:33:35 EDT

Compliance Officer: dbridges
Compliance Time: 18 May 2015 09:38:50 EDT

Risk Officer: smitman
Risk Time: 18 May 2015 10:33:35 EDT

Additional Remarks:

All Requested Capabilities: BOND CFD FOP FUND FUT MRGN MULT OPT STK

Decision: Accepted

Proclamations:
Deciding Officer: dbridges
Deciding Time: 10 Feb 2015 11:35:50 EST

Compliance Officer: dbridges
Compliance Time: 10 Feb 2015 11:35:50 EST

Additional Remarks:

All Requested Capabilities: BOND CFD FOP FUND FUT MULT OPT STK

Decision: Accepted

Proclamations:
Deciding Officer: dbridges
Deciding Time: 05 Feb 2015 15:21:23 EST

Compliance Officer: dbridges
Compliance Time: 05 Feb 2015 15:21:23 EST

Additional Remarks:

ADDITIONAL APPLICANT/REGISTRATION INFORMATION

APPLICANT INFO

Account Title Native: 女士 彦 周
Applicant ID: 2226819
Country of Legal residence: China
Applicant Citizenship: China
US Income Tax Classification: NOT AVAILABLE

Market Data Status: Non-Professional
Token Type: Bingo
Display U.S. Indicia Check Result
Show FATCA RWE Resolution

Primary Phone: +8613611330050

Mailing Address: 26-3-201, Longhuhaowangshan, 2# Yuan, Xinniunan Rd, Niulanshanzhen, Shunyiq
Beijing, Beijing, 100301
China
Currency/Rate: USD (1)

Marketing/Sales Info:
Assisted by: Other

Change Applicant Information |

IPO CERTIFICATION INFORMATION

No response

EXCESS SWEEP

None

INVESTMENT EXPERIENCE

	Years of Experience	# of Trades per Year	Knowledge Level
Stocks	> 10	26 - 50	Extensive
Options	6 - 10	1 - 10	Extensive
Commodities	5	1 - 10	Extensive
Bond	> 10	1 - 10	Extensive
FX	5	1 - 10	Extensive
CFD	N/A	N/A	0

FINANCIAL INFORMATION

Estimated Net Worth	500,001 - 1,000,000	Estimated Liquid Net Worth	500,001 - 1,000,000
Net Income	150,001 - 250,000	Sources of Funds (Other than regular income)	Sources Of Income
Total Assets	1,000,001	Accredited Investor for Private Placement?	No
		Invited to Private Placement?	No

INVESTMENT OBJECTIVES

Growth, Trading, Speculation, Hedging

Edit Objective

TAX BASIS CONFIGURATION

TAX BASIS	LAST EDIT	EDITED BY
FIFO (First In First Out)		

TAX SYSTEM STATUS

Current Tax System Class: Current Tax System Country: Reported Tax System Class: Reported Tax System Country: 5/18/2016 5:53 PM
SEC-IB-E-0001532

Tax System Status

Current Tax System Class:

Current Tax System Country:

Reported Tax System Class:

Reported Tax System Country:

NS

CN

N/A

N/A

WS Info

Tax Form History

Display Pending Tax Forms

BASIC INFORMATION

Form: [View W-BEN](#)
Business Name: null
Submitted: 09 Dec 2015 07:48:34 EST
For Interest: No
For Dividend: No
For Broker: No
QI Verified: No
Beneficial Owner: N/A
Citizenship: China
FATCA Entity Type: Unknown
FATCA Status: UNKNOWN
FATCA Hybrid Treaty Claim: UNKNOWN
Residential Address:

Beijing, Beijing, 100301

Native Residential Address:
顺义区牛栏山镇鑫牛南路2号院 龙湖好望山26号楼3单元201室
Beijing, Beijing

Mailing Address:

Beijing, Beijing, 100301

Native Mailing Address:

Beijing, Beijing

Expiration Date: None

ADDITIONAL INFORMATION

PARAMETER NAME	US-ASCII VALUE	NATIVE VALUE
PART_2_9A_COUNTRY	China	
WBBENCERT1	T	
WBBENCERT2	T	
WBBENCERT3	T	
WBBENCERT4	T	
WBBENCERT5	T	

There is no any GIN Verification record in our database

US Tax Info

Tax Form History

Display Pending Tax Forms

No W-9 form available or applicable.

IRS Tax Verification Status

No TIN Verification done with IRS.

Account Tax ID

N.A.(China) INVALID

Financial Regulation Registration Information

Investor Category

No Investor Category
History

Dividend Reinvestment Plan (DRIP)

There is no DRIP for this account!

Show Drp History

Applicant Associated Entities

Show all

COUNTRY	REGULATOR'S NAME	SERVICE TYPE	REGISTRATION TYPE	REGISTRATION ID
---------	------------------	--------------	-------------------	-----------------

MS. YAN ZHOU (MANAGER-ACCOUNT HOLDER,OCR ACCOUNT CONTROLLER-SELF)

Ms. Yan Zhou

Individual (25075643)

Ownership

Ownership percentage: 100.0

Detailed Ownership Information

Contact Info

Email: 579797@qq.com

Home Phone: +8613611330050

Home (PRIMARY): (86) +8613611330050

Details

Personal Info

Citizenship: China

DOB: [REDACTED]

Country of Birth: China

of Dependents: 4

Marital Status: M

Gender: F

Legal ID

National ID: 42010619820622122x (China)

Tax ID(s)

N A (China) - INVAL ID

Employer Info

Employment Status: SELFEMPLOYED

Occupation: Teacher

Job Title: Manager

Employer: Beijing Menghuanxuanlv International Education Advisory Co., Ltd.

Employer Business: Education

Employer Address: Jiahaobieshu, Houshayuzhen, Shunyiqiu Beijing, 101318 China

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5/18/2016 5:53 PM
SEC-IB-E-0001533

Contact Info

Email: 579797@qq.com

Home Phone: +8613611330050

Home (PRIMARY): (86) +8613611330050

details

Legal IDs

National ID: 42010619820622122x (China)

Tax ID(s)

N.A. (China) - INVALID

Addresses

Residential Address: 26-3-201,
Longhuawangshan, 2# Yuan, Xinniuan
Rd, Niulanshanzhen, Shunyi
Beijing, Beijing, 100301
China

Mailing Address: Same as residential address

Employer Address: Jiahaobieshu,
Houshayuzhen, Shunyi
Beijing, 101318
China

Native Language Fields (Language code: zh_CN)

彦周

Individual (25075642)

Contact Info

Email: 579797@qq.com

Home Phone: +8613611330050

Home (PRIMARY): (86) +8613611330050

details

Personal Info

Citizenship: China

DOB: 1982

Country of Birth: China

of Dependents: 4

Marital Status: M

Gender: F

Legal IDs

National ID: 42010619820622122x (China)

Tax ID(s)

N.A. (China) - INVALID

Addresses

Residential Address: 顺义区牛栏山镇鑫牛南路2
号院, 龙湖好望山26号楼3单元201室
北京市, Beijing, 100301
China

Mailing Address: Same as residential address

Employer Info

Employment Status: SELFEMPLOYED

Occupation: 教师

Employer: 北京梦幻旋律国际教育咨询有限公司

Employer Business: Education

Employer Address: 北京市顺义区后沙峪镇嘉浩
别墅
北京, 101318
China

Change Info

Request Proof of ID and DOB

Request Proof of Address

Request Proof of SSN

Mark as PEP

Ownership History

Sessions:

User: julia622 (U8901566F)

Active In TWS: Yes

ACCOUNT ASSOCIATED ENTITIES U8901566

Show all

No Associated Entity

DISCIPLINARY EVENTS

QUESTION	ANSWER	NATIVE ANSWER
Has the account holder ever been the subject of, or initiated, litigation, arbitration or any other type of dispute or settlement procedure with another broker or dealer?	No	No
Has the account holder ever been the subject of an investigation or proceeding by any commodities or securities exchange or regulatory authority or self-regulatory authority?	No	No

COMPLIANCE/REGULATORY INFORMATION

Is the account holder or any immediate family member who resides in the same household, registered as a broker-dealer or an employee, director or owner of a securities or commodities brokerage firm? No

Add Broker-Dealer Affiliation

QUESTION	ANSWER	NATIVE ANSWER
Is the account holder a member of an exchange or an associated person, affiliated person or employee of an exchange member?	No	No
Is the account holder a member of a regulatory or a self-regulatory organization?	No	No
Is the account holder: i) a director; ii) a 10% shareholder; or iii) a policy-making officer of any publicly traded company? (Restricted or Controlled Stock)	No	No
Is exactly a registered financial advisor?	N/A	N/A
Accepted Futures Arbitration Agreement?	Yes	Yes

Edit Compliance Information Change Arbitration Agreement

U.S. SEC LARGE TRADER ID INFORMATION

Show information on U.S. SEC large Trader ID Information

EXCHANGE MEMBERSHIP AND COMMISSION INFO

COMMISSION TYPE	STATUS	DATE REQUESTED	DATE EFFECTIVE
Securities	Un-bundled	2015-01-23 17:38:08.0	2015-01-26 00:00:00.0
Commodities	Bundled	2015-01-23 16:33:09.0	2015-01-26 00:00:00.0

EXCHANGE CODE	CLASS
Add an Exchange class	
REGULATORY CODE	CLASS
Add a Regulatory class	

EQUIFAX ID/ADDRESS VERIFICATION REPORTS

No Equifax/CRC verification reports for this Account

5/18/2016 5:53 PM
SEC-IB-E-0001534

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Add a Regulatory class

Equifax ID/Address Verification Reports

No Equifax/CDC verification reports for this Account.

OFAC, SANCTIONED AND CONTROL LIST/PROHIBITED CUSTOMER LIST SEARCHES

Name	Matches	
Search ([REDACTED] 2813) for Ms. Yan Zhou (Manager-Account Holder,OCR Account Controller-self)		Complete - no match found hide
Yan Zhou	No Matches found.	Processing time: 14 May 2016 18:32:12 EDT

WorldCheck Tasks

Name	Matches	
WorldCheck Search (# 99372814) for Ms. Yan Zhou (Manager-Account Holder,OCR Account Controller-self)		False positive - Not an actual match. hide
Yan Zhou	<p>Match found.</p> <p>Name Match: Yan ZHOU</p> <p>Name Match: Yan ZHOU</p> <p>Name Match: Yan ZHOU</p> <p>Name Match: Yan ZHOU</p> <p>Name Match: Yan ZHOU</p> <p>See Match Details</p>	<p>Processing time: 19 Jan 2015 20:44:16 EST</p> <p>Additional Notes: IB's Compliance Department has reviewed the potential match. No further follow-up will be required as the potential match has been determined to be false-positive based on legal name includes Chinese characters, DOB and location not an exact match. (ewong - 20 Jan 2015 01:14:27 EST)</p>

Document Submission Tasks

Reject Multiple

DOCUMENT SUBMISSION TASK	DOCUMENT RECEIVED	STATUS	ACTIONS
Proof of identity and date of birth for Ms. Yan Zhou (Manager-Account Holder,OCR Account Controller-self)	National ID Y811C-425-2481248.jpg via Form Upload 19 Jan 2015 05:22:03 EST	Approved (dbridges) on 23 Jan 2015 12:11:43 EST	
Proof of address for Ms. Yan Zhou (Manager-Account Holder,OCR Account Controller-self)	Utility Bill Y811C-425-2488029.jpg via Form Upload 22 Jan 2015 04:05:18 EST	Approved (dbridges) on 23 Jan 2015 12:11:43 EST	

COMPLIANCE REVIEWS

Mark Tasks for Further Review

User	Task	Status
julia622	New Registration Translation for Yan Zhou	Completed on 19 Jan 2015 05:40:39 EST
julia622	New Registration Translation for Yan Zhou	Completed on 19 Jan 2015 20:33:37 EST
julia622	Info Change Translation for Yan Zhou	Completed on 07 Oct 2015 21:28:19 EDT
julia622	Info Change Translation for Yan Zhou	Completed on 10 Dec 2015 00:15:49 EST
julia622	U.S. Indicia Check for Yan Zhou	To Be Completed Process It

EXHIBIT 14

ACCOUNT INFORMATION FOR BEI XIE

CUSTOMER SUMMARY FOR BEI XIE

Title:	Bei Xie
Applicant ID:	2487690
Type:	INDIVIDUAL
Legal Country:	China (native application: zh_CN)
Mailing Address:	Room 811, Fenghedasha, 23 Taiyanggongnanjie, Beijing, 100028, China
E-mail Address:	xiebei0311@sohu.com
Primary user name:	xiebei0311
Employer:	Set/Unset Employer
Good-faith Review:	

ACCOUNTS OF BEI XIE

	ID	VAN	Type	Activated Capabilities	Status	Priority	Equity yesterday
U	U9013862	3862	Active Trader	BOND CFD FOP FUND FUT OPT STK MRGN PMRGN	Open.	NORMAL+	1,157,442 USD
F	U9013862F	362F	Active Trader	CFD CMDTY FOP FUT OPT MRGN	Open.	NORMAL+	0 USD

ACCOUNT SUMMARY FOR 3862

ID:	3862 (VAN: 3862)	Equity yesterday:	1,157,442 USD
Type:	Active Trader	Started:	12 Jan 2016
Activated Capabilities:	BOND CFD FOP FUND FUT OPT STK MRGN PMRGN	Approved:	17 Feb 2016
Status:	Open. <i>Clearing Status</i>	Opened:	17 Feb 2016
Phylum	C - Customer	Funded:	23 Feb 2016
Priority	NORMAL+ <i>Change Priority</i>	Closed:	
IB Entity:	IBLLC-US	Operator:	
Currency:	USD	Estate:	

TMS tickets

TMS sticky notes

Assign to ASG

Account Diagnostic

PRIOR NOTES

Hide all

1. Note	hide
MRGN PMRGN upgrade request approved	
Operator: dbridges	Date: 01 Apr 2016
2. Note	hide
Upgrade approved	
Operator: cjohans	Date: 24 Feb 2016
3. Note	hide
Marriage certificate on file as proof of relationship(doc. 3157994)	
Operator: gfung	Date: 17 Feb 2016
4. Note	hide
Marriage certificate on file as proof of relationship(doc. 3157994)	
Operator: gfung	Date: 17 Feb 2016
5. Note	hide
Marriage certificate is provided as proof of relationship(doc. 3157994)	
Operator: gfung	Date: 17 Feb 2016
6. Note	hide
IB's Compliance Department has reviewed the potential match. No further follow-up will be required as the potential match has been determined to be false-positive based on full name mismatch.	
Operator: gfung	Date: 17 Feb 2016

CUSTOMER CONFIGS

Account Config

Nothing Set

Edit Account Config

Internal Account Settings

Nothing Set

Edit Account Settings

ACCOUNT APPROVAL DECISION

CLICK to see Account Reopen History

Decision: Accepted (Initial)

Proclamations:

Deciding User: dbridges

Deciding Time: 17 Feb 2016 12:03:24 EST

Initial Capabilities: BOND MULT OPT STK

Additional Remarks:

ACCOUNT UPGRADE DECISIONS

All Requested Capabilities: BOND CFD FOP FUND FUT MRGN MULT OPT PMRGN STK

Exhibit 14

ACCOUNT UPGRADE DECISIONS

All Requested Capabilities: BOND CFD FOP FUND FUT MRGN MULT OPT PMRGN STK

Decision: Accepted

Proclamations: I have reviewed and approved this account for portfolio margin, based on my review of all financial and investment information provided by the customer, and based on the fact that the account is eligible for uncovered option trading and has acknowledged receipt of and agreement with the Portfolio Margin Risk Disclosure

Deciding Officer: smitman

Deciding Time: 04 Apr 2016 11:31:39 EDT

Compliance Officer: dbridges

Compliance Time: 01 Apr 2016 10:05:40 EDT

Risk Officer: smitman

Risk Time: 04 Apr 2016 11:31:39 EDT

Additional Remarks:

All Requested Capabilities: BOND CFD FOP FUND FUT MULT OPT STK

Decision: Accepted

Proclamations:

Deciding Officer: cjohans

Deciding Time: 24 Feb 2016 13:27:17 EST

Compliance Officer: cjohans

Compliance Time: 24 Feb 2016 13:27:17 EST

Additional Remarks:

ADDITIONAL APPLICANT/REGISTRATION INFORMATION

APPLICANT INFO

Account Title Native: Ms. 薛解
Applicant ID: 2487690
Country of Legal residence: China
Applicant Citizenship: China
US Income Tax Classification: NOT AVAILABLE

Mailing Address: Room 811, Fenghedasha
23 Talyanggongnanjie, Beijing, 100028
China
Currency/Rate: USD (1)

Market Data Status: Non-Professional
Token Type: Gold
Display U.S. And/or in Chinese Results
Show FATCA RWE Resolution

Marketing/Sales Info:
Assisted by: self

Change Applicant Information |

IPO CERTIFICATION INFORMATION

No response

EXCESS SWEEP

Securities

INVESTMENT EXPERIENCE

	Years of Experience	# of Trades per Year	Knowledge Level
Stocks	5	51 - 100	Extensive
Options	5	20 - 50	Extensive
Commodities	5	11 - 25	Extensive
Bond	5	26 - 50	Extensive
FX	5	1 - 10	Extensive
CFD	N/A	N/A	0

FINANCIAL INFORMATION

Estimated Net Worth	1,000,001 - 5,000,000	Estimated Liquid Net Worth	1,000,001 - 5,000,000
Net Income	250,001 - 500,000	Sources of Funds (Other than regular income)	Sources Of Income
Total Assets	1,000,001	Accredited Investor for Private Placement?	No
		Invited to Private Placement?	No

INVESTMENT OBJECTIVES

Growth, Trading, Speculation, Hedging

Edit Objective

TAX BASIS CONFIGURATION

Tax Basis	Last Edit	Edited By
FIFO (First In First Out)		

TAX SYSTEM STATUS

Current Tax System Class:	Current Tax System Country:	Reported Tax System Class:	Reported Tax System Country:
NS	CN	NS	CN

WS INFO

Tax Form History

Exhibit 14



WS Info

Tax Form History

Display Pending Tax Forms

BASIC INFORMATION

Form: View W-8888
Business Name: null
Submitted: 17 Feb 2016 00:20:11 EST
For Interest: No
For Dividend: No
For Broker: No
QI Verified: No
Beneficial Owner: N/A
Foreign Tax ID: 130183198704190028
Citizenship: China
Date Of Birth: 19 Apr 1987
FATCA Entity Type: Unknown
FATCA Status: UNKNOWN
FATCA Hybrid Treaty Claim: UNKNOWN
Residential Address:
5-1-1062, 19 Taiyanggongnanjie
Chaoyangqu, Beijing, 100028
China
Native Residential Address:
北京市朝阳区太阳宫南街19号院5号楼1单元1062号
北京, Beijing

Mailing Address:
Room 811, Fenghedasha
23 Taiyanggongnanjie, Beijing

Native Mailing Address:
朝阳区太阳宫南街23号丰和大厦811室
北京, Beijing

Expiration Date: None

There is no any GIN Verification record in our database



US Tax Info

Tax Form History

Display Pending Tax Forms

No VV-9 form available or applicable.

IRS Tax Verification Status

No TIN Verification done with IRS.

Account Tax ID

0028(China) VALID

FINANCIAL REGULATION REGISTRATION INFORMATION



INVESTOR CATEGORY

Active Categories

COUNTRY	REGULATOR'S NAME	SERVICE TYPE	REGISTRATION TYPE	REGISTRATION ID
INVESTOR CATEGORY		QUESTIONNAIRE	CATEGORY TS	REASON
AI Accredited Investor		Individual	01 Apr 2016	Customer Customer self-declared

History



DIVIDENT REINVESTMENT PLAN (DRIP)

There is no DRIP for this account!



Show Drip History



APPLICANT ASSOCIATED ENTITIES

Show all

BEI XIE (ACCOUNT HOLDER)

Bei Xie

Individual (31272034)

Ownership
Ownership percentage: 100.0
Detailed Ownership Information

Contact Info
Mobile Phone: +8615810946335
Mobile (PRIMARY): (86) +8615810946335
details

Personal Info

Citizenship: China
DOB: 1987
Country of Birth: China
of Dependents: 2
Marital Status: M
Gender: F

Legal Ids

National ID: 130183198704190028 (China)

Tax IDs

130183198704190028 (China)

Addresses

Employer Info

Employment Status: EMPLOYED
Occupation: Section member
Employer: PetroChina Coalbed Methane
Company limited
Employer Business: Oil and Gas On/Offshore
Employer Address: Room 811, Fenghedasha
23 Taiyanggongnanjie, Beijing, 100028
China

Exhibit 14

Mobile (PRIMARY): (86) +8615810946335 <i>details</i>	National ID: 130183198704190028 (China) <i>tax ID(s)</i> 130183198704190028 (China) <i>Addresses</i> Residential Address: 5-1-1062, 19 Taiyanggongnanjie Chaoyangqu, Beijing, 100028 China Mailing Address: Room 811, Fenghedasha 23 Taiyanggongnanjie, Beijing, 100028 China
--	--

Native Language Fields (Language code: zh_CN)

薛 解 <i>Individual</i> (31272834) <i>Contact Info</i> Mobile Phone: +8615810946335 Mobile (PRIMARY): (86) +8615810946335 <i>details</i>	<i>Personal Info</i> Citizenship: China DOB: 19 Apr 1987 Country of Birth: China # of Dependents: 2 Marital Status: M Gender: F <i>Legal ID</i> National ID: 130183198704190028 (China) <i>Tax ID(s)</i> 130183198704190028 (China) <i>Addresses</i> Residential Address: 北京市朝阳区太阳宫南街 19号院5号楼1单元1062号 北京, Beijing, 100028 China Mailing Address: 朝阳区太阳宫南街23号中和大 厦811室 北京, Beijing, 100028 China	<i>Employer Info</i> Employment Status: EMPLOYED Occupation: 资金岗科员 Employer: 中石油煤层气有限责任公司 Employer Business: Oil and Gas On/Offshore Employer Address: 北京市朝阳区太阳宫南街丰 和大厦811室 北京, Beijing, 100028 China
--	---	--

[Change Info](#) [Request Proof of ID and DOB](#) [Request Proof of Address](#) [Request Proof of SSN](#) [Mark as PEP](#) [Ownership History](#)

Sessions:

User: xiebei656 (DU301681)	Active in TWS:Yes
User: xiebei311 (U9013862)	Active in TWS:Yes

ACCOUNT ASSOCIATED ENTITIES U9013862 <i>Show all</i> No Associated Entity
--

DISCIPLINARY EVENTS

QUESTION	ANSWER	NATIVE ANSWER
Has the account holder ever been the subject of, or initiated, litigation, arbitration or any other type of dispute or settlement procedure with another broker or dealer?	N/A	N/A
Has the account holder ever been the subject of an investigation or proceeding by any commodities or securities exchange or regulatory authority or self-regulatory authority?	N/A	N/A

COMPLIANCE/REGULATORY INFORMATION

Is the account holder or any immediate family member who resides in the same household, registered as a broker-dealer or an employee, director or owner of a securities or commodities brokerage firm?	No
--	----

Add Broker-Dealer Affiliation

QUESTION	ANSWER	NATIVE ANSWER
Is the account holder a member of an exchange or an associated person, affiliated person or employee of an exchange member?	N/A	N/A
Is the account holder a member of a regulatory or a self-regulatory organization?	N/A	N/A
Is the account holder: i) a director ; ii) a 10% shareholder; or iii) a policy-making officer of any publicly traded company? (Restricted or Controlled Stock)	No	No
Is exactly a registered financial advisor ?	N/A	N/A
Accepted Futures Arbitration Agreement ?	Yes	Yes

[Edit Compliance Information](#) [Change Arbitration Agreement](#)

U.S. SEC LARGE TRADER ID INFORMATION

Show information on U.S. SEC large Trader ID Information

EXCHANGE MEMBERSHIP AND COMMISSION INFO

COMMISSION TYPE	STATUS	DATE REQUESTED	DATE EFFECTIVE
Securities	Bundled		
Commodities	Bundled		

EXCHANGE CODE	CLASS
<i>Add an Exchange class</i>	
REGULATORY CODE	CLASS
<i>Add a Regulatory class</i>	

EXCHANGE CODE	
Add an Exchange class	
REGULATORY CODE	CLASS
Add a Regulatory class	

EQUIFAX ID/ADDRESS VERIFICATION REPORTS

No Equifax/CDC verification reports for this Account.

OFAC, SANCTIONED AND CONTROL LIST/PROHIBITED CUSTOMER LIST SEARCHES

Name	Matches	
Search (# 126557021) for Bei Xie (Account Holder)		Complete - no match found hide
Bei Xie	No Matches found.	Processing time: 14 May 2016 08:16:21 EDT

WORLD CHECK TASKS

Name	Matches	
WorldCheck Search (# 126557022) for Bei Xie (Account Holder)		False positive - Not an actual match. hide
Bei Xie	<p>Match found.</p> <p>Name Match: DEJING ZHONG TIE TIAN RUI XI XIE SHE BEI YOU XIAN GONG SI</p> <p>Name Match: Xindai XIE</p> <p>Name Match: Beikui XIE</p> <p>See Match Details</p>	<p>Processing time: 13 Jan 2016 03:12:54 EST</p> <p>Additional Notes: IB's Compliance Department has reviewed the potential match. No further follow-up will be required as the potential match has been determined to be false-positive based on full name mismatch. (gfung - 17 Feb 2016 00:53:25 EST)</p>

DOCUMENT SUBMISSION TASKS

Reject Multiple

DOCUMENT SUBMISSION TASK	DOCUMENT RECEIVED	STATUS	ACTIONS
Legal Acknowledgement for Bei Xie	Received form Legal Acknowledgement	Approved (dbridges) on 17 Feb 2016 12:03:24 EST	
Proof of identity and date of birth for Bei Xie (Account Holder)	National ID Y811C-US-3037994.pdf via Form Upload 12 Jan 2016 23:56:28 EST	Approved (dbridges) on 17 Feb 2016 12:03:24 EST	
Proof of address for Bei Xie (Account Holder)	Hukou Y811C-US-3157994.pdf via E-mail 16 Feb 2016 19:46:44 EST	<p>Approved (dbridges) on 17 Feb 2016 12:03:24 EST</p> <p>Additional Notes: Marriage certificate on file as proof of relationship(doc. 3157994) (dfund)</p> <p>Marriage certificate on file as proof of relationship(doc. 3157994) (gfung)</p> <p>Marriage certificate is provided as proof of relationship(doc. 3157994) (gfung)</p>	

COMPLIANCE REVIEWS

Mark Tasks for Further Review

User	Task	Status
xieBei311	New Registration Translation for Bei Xie	Completed on 13 Jan 2016 02:17:41 EST
xieBei311	U.S. Indicia Check for Bei Xie	Completed on 17 Feb 2016 00:57:29 EST
xieBei311	New Registration Translation for Bei Xie	Completed on 17 Feb 2016 00:20:11 EST
xieBei311	Investor Category for Bei Xie	Completed on 01 Apr 2016 09:52:28 EDT

EXHIBIT 15

SEATTLE
SEA 144

Fidelity Brokerage IRA Account Application

1 PERSONAL INFORMATION/YOUR PROFILE

Permanent street address is required.

Name: Shao hua Yin SSN: 345-92-3676 Date of Birth: 11/9/72
(first, MI, last) (month, day, year)Permanent Street Address (no P.O. Boxes): 23706 S.E. 4th PL. Redmond WA 98053

Mailing Address (if different from above): _____

City: _____

State: _____

Zip: _____

Home Phone: (425) 427-8306 Work Phone: (425) 703-9527 E-mail Address: shaoyin@microsoft.com

This information is required by industry regulations.

Country of citizenship: ☐ U.S. ☒ OtherCountry of tax residence: ☒ U.S. ☐ OtherEmployment Status: ☒ Employed ☐ Not employed ☐ Retired

Occupation: (If not employed, indicate source of income)

Engineer

Employer's Name, Address:

MicrosoftInvestment Objective
(choose one)

- ☐
- Preservation of Capital
-
- ☐
- Income
-
- ☒
- Capital Appreciation

Annual Income
(from all sources)

- ☐
- Under \$20,000
-
- ☐
- \$20,001-\$50,000
-
- ☒
- \$50,001-\$100,000
-
- ☐
- Over \$100,000

Estimated Net Worth
(excluding residence)

- ☒
- Under \$50,000
-
- ☐
- \$50,001-\$100,000
-
- ☐
- \$100,001-\$500,000
-
- ☐
- Over \$500,000

Estimated Liquid Net Worth

- ☒
- Under \$50,000
-
- ☐
- \$50,001-\$100,000
-
- ☐
- \$100,001-\$500,000
-
- ☐
- Over \$500,000

Federal Tax Bracket

- ☐
- 15%
-
- ☒
- 28%
-
- ☐
- Over 28%

Affiliations:

■ Are you affiliated with or employed by a stock exchange or member firm of an exchange or the NASD, or by Fidelity?

☐ Yes, with _____

(see instructions)

■ Are you a director, 10% shareholder, or policy-making executive of a public company?

☐ Yes. Company: _____

Trading symbol: _____

2 IRA BENEFICIARY DESIGNATION - PLEASE MAKE SURE YOUR PERCENTAGES ADD UP TO 100%

If you have previously designated beneficiaries on a Fidelity IRA, please refer to the attached instructions.

Section A: Primary Beneficiaries

First Name (If trust, please give name, address, and trustee's name.)	MI	Last Name	Social Security Number	Share %	Date of Birth/ Date of Trust	Beneficiary is		
						Spouse	Other	Trust
1. _____					/ /	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. _____					/ /	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section B: Contingent Beneficiaries

First Name (If trust, please give name, address, and trustee's name.)	MI	Last Name	Social Security Number	Share %	Date of Birth/ Date of Trust	Beneficiary is		
						Spouse	Other	Trust
1. _____					/ /	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. _____					/ /	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3 FUNDING YOUR ACCOUNT

A. If you are funding your IRA(s) with an enclosed check(s). Make check(s) payable to Fidelity Investments.

IRA Type(s) you are establishing	Contribution Amount	Contribution Year	Rollover contribution from another IRA	Conversion from another IRA
<input checked="" type="checkbox"/> Roth IRA	\$ <u>2,000.00</u>	<u>1999</u>	\$ _____	\$ _____
	\$ <u>move from</u> <u>3918 EMP</u>		\$ _____	
<input type="checkbox"/> Traditional IRA	\$ _____		\$ _____	
<input type="checkbox"/> Rollover IRA	\$ _____		\$ _____	

Exhibit 15

9100555

FIMS_RETAIL:65293426

3 FUNDING YOUR ACCOUNT (continued)**B. If you are transferring your IRA(s) to a Fidelity IRA**

- ☐ Check here if you maintain a similarly registered Fidelity Mutual Fund IRA. You may consolidate that IRA(s) into your Brokerage IRA. Transfer all shares of my Fidelity Mutual Fund IRA(s) to a Fidelity Brokerage IRA. My account number is:

Mutual Fund **T-**

- ☐ Check here if you are transferring assets from an IRA at another custodian. Indicate the type of IRA you are establishing at Fidelity:

☐ Roth IRA ☐ Traditional IRA ☐ Rollover IRA

Complete and return the Fidelity Brokerage Transfer form (see attached form) and your account statement from other custodian.

C. If you are converting your existing Fidelity IRA to a Fidelity Roth IRA

Fidelity IRA to be converted:

Mutual Fund **T-**

or Brokerage:

Fidelity will convert ALL of your IRA indicated above unless you indicate only a partial amount to be converted:

Name of Security or Fund: Amount in ☐ Dollars or ☐ Shares

Please continue on a separate sheet if needed.

Tax Withholding

Taxes will be withheld at a rate of 10% unless you indicate otherwise; refer to instructions on "Tax Withholding."

- ☐ Do not withhold taxes on the above conversion.

D. If you are converting to a Roth IRA with non-Fidelity assets

- ☐ Check this box if you are establishing a Roth IRA and converting assets from an IRA at another custodian to a Fidelity Roth IRA.

Complete and return a Conversion form.

4 ACCOUNT FEATURES

You may select any of these additional account features; check below:

Telephone Withdrawal: You automatically have the ability to request IRA distributions by telephone, with a federal income tax withholding of 10% to your distribution unless you choose to decline or modify this feature below. Please refer to Section 4 of instructions. The telephone distribution feature may be modified as follows (choose one):

I choose to decline the telephone withdrawal feature for the IRAs I checked below.

☐ Traditional, Rollover, SEP-IRA(s) ☐ Roth IRA(s)

I elect NOT to have federal taxes withheld from withdrawals that I request by telephone for the IRAs I checked below.

☐ Traditional, Rollover, SEP-IRA(s) ☐ Roth IRA(s)

FMTIC and its affiliates, successors, officers, directors, employees and agents (collectively FMTIC) will not be liable for any loss, liability, cost or expense that may arise from FMTIC acting upon such telephone withdrawal instructions if it follows reasonable procedures designed to prevent unauthorized transactions.

- ☐ **Equity Dividend Reinvestment:** Reinvest all eligible security dividends and capital gains in their respective securities.

To add the following features, forms are available online at www.fidelity.com or check below to receive by mail.

- ☐ Automatically contributing to your IRA
☐ Options Trading ☐ Limited Trading Authority

5 FOR ROTH IRAS ONLY

If you are establishing a Roth IRA in any of the previous sections and you have a 5-year aging date other than the current year, indicate that year here by checking the appropriate box: ☐ 1998 ☒ 1999

6 SIGNATURE

I hereby adopt the Fidelity IRA and/or Fidelity Roth IRA as indicated in Section 3, appointing Fidelity Management Trust Company (FMTIC) (or any successor pursuant to the terms of the Fidelity IRA or Fidelity Roth IRA as the case may be) as Custodian, and Fidelity Brokerage Services, Inc. (FBSI) and National Financial Services Corporation (NFSC) to perform administrative services. Acceptance will be evidenced by a Letter of Acceptance signed by, or on behalf of FBSI, FMTIC and NFSC.

I have received and read the Prospectus for Fidelity Cash Reserves. I hereby choose Fidelity Cash Reserves as the money market fund to be used to hold assets of my IRA pending other investment instructions. I understand that my IRA will be invested in accordance with my instructions as given from time to time to FBSI and that Fidelity will disclose my name to issuers of securities, if securities are held in my account, so that I can receive important information unless I do not consent to disclosure and will notify FBSI in writing if I do not consent. I hereby certify under penalties of perjury that my Social Security number in Section 1 is correct. I also certify that I am of legal age to enter into this agreement. I understand that it is my responsibility to read the prospectus for any mutual fund into which I purchase or exchange.

I understand the following fees may be collected from my account balance: (1) a \$24 annual IRA fee (2) a \$50 account liquidation fee. I have read the Fidelity Brokerage Account brochure for IRAs and Rollovers, and understand that certain brokerage fees and charges may apply to this account. FMTIC may change the fee schedule from time to time, as provided in the Custodial Agreement. Although FMTIC is a bank, I recognize that any investment company (i.e., any mutual fund/money market fund) in which this IRA may be invested is not a bank and is not backed or guaranteed by any bank or insured by the FDIC. This agreement shall be construed, administered and enforced according to the laws of the Commonwealth of Massachusetts, except as superseded by federal law or statute.

If in Section 3, I have requested a conversion from my existing Fidelity IRA to a Fidelity Roth IRA, I authorize and request the custodian of my existing IRA, FMTIC, to make the above requested distribution from my IRA and conversion contribution to my Fidelity Brokerage Roth IRA. If in Section 3 I have indicated that I will be funding my Roth IRA with conversion assets from another Custodian, I understand that this application and the information herein may apply to a Fidelity Traditional IRA, in addition to my Fidelity Roth IRA, in order to facilitate the conversion. I hereby attest that for the year of the conversion, my adjusted gross income is \$100,000 or less.

I hereby indemnify the Custodian (its agents, affiliates, successors, and employees) from any and all liability in the event I fail to meet any IRS requirements concerning my IRA(s).

I have received the Fidelity IRA and/or Fidelity Roth IRA Custodial Agreement and Disclosure Statement and agree to be bound to the terms of the applicable Custodial Agreement of which this application is a part. By signing below, I hereby consent to the terms of the applicable Custodial Agreement including the information and provisions set forth in this account application, and to the beneficiary(ies) I have designated in this application. I understand that the payment to beneficiaries will be made according to the rules of succession described in the Fidelity IRA and/or Fidelity Roth IRA Custodial Agreements and Disclosure Statements.

I have read the Fidelity Brokerage IRA Customer Agreement and agree to be bound by such Customer Agreement as is currently in effect and as may be amended from time to time. All IRAs established with this application are governed by a pre-dispute arbitration clause, which is found in paragraph 5 of the Customer Agreement, and I acknowledge receipt of the pre-dispute arbitration clause.

SIGNATURE

Date

X *Shapna B.* 3/15/2000

Fidelity Investments is a registered trademark owned by FMR Corp. Fidelity Brokerage Services, Inc., National Financial Services Corporation, and Fidelity Distributors Corporation are each direct or indirect subsidiaries of FMR Corp. Accounts are carried with our affiliate, National Financial Services Corporation, a member of the New York Stock Exchange and other principal exchanges.

Fidelity will complete this section

Chet R.
Approved by R.R.
Shapna B.
Accepted by Manager

3/20/00

Date 3/20/00

Date



Fidelity Brokerage Services, Inc. Member NYSE, SIPC.